

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

APPLICATION KIT FOR ROSS FUNDING
FISCAL YEAR 2001

U.S. DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT
451 SEVENTH STREET, S.W., WASHINGTON, D.C. 20410

February 2001

Foreword

Dear Friend of America's Communities:

I am pleased to provide you with a copy of "Connecting With Communities: A User's Guide to HUD Programs and the 2001 SuperNOFA Process."

HUD's SuperNOFA provides you with the information you need about HUD's competitive grant funds in one convenient publication. This User's Guide, in conjunction with our latest SuperNOFA, can help you better understand the HUD programs that are available to help your community or neighborhood and decide which funding opportunities will best meet your local needs.

The 2001 SuperNOFA outlines approximately \$2.75 billion in grant programs, covering a wide range of community development, economic development and housing programs. Our guidebook is written in plain language so that the programs and their application requirements can be easily understood.

As HUD Secretary, I came to this Department with a strong belief in the American Dream. I arrived in America as a teenage refugee from Cuba, speaking very little English but with faith in God and the conviction that this was the greatest nation in the world – a set of beliefs that have helped shape my life. I have witnessed America's greatness and the goodness of its people, and I know that HUD can build on that by working closely with local communities and neighborhood- and faith-based organizations. I know you share my goal of helping all people take advantage of America's tremendous economic opportunities and enjoy decent, affordable housing in safe neighborhoods.

I look forward to working with you, as a partner, to increase housing affordability and availability, give compassionate help to the homeless, bring new vitality to declining communities and forgotten neighborhoods, and make hope for the future and the opportunity to live the American Dream a reality for all.

A handwritten signature in black ink, reading "Mel Martinez". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Mel Martinez
Secretary

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY FY 2001

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ROSS FY 2001 FUNDING

INTRODUCTION

PROGRAM BACKGROUND

The *Public Housing Reform Act of 1998* (PHRA) initiated numerous public housing reforms aimed at creating mixed income communities. Several initiatives are intended to enhance the quality of life for public housing residents while promoting self-sufficiency and personal responsibility in communities. A major component of the Act provides a mandate to link services with public and Indian housing residents for economic self-sufficiency.

Consistent with the Department's goal to focus comprehensive resources on welfare to work and on independent living, ROSS programmatically addresses the needs of public and Indian housing residents by providing supportive services that will:

- Enable the linking of essential services to public and Indian housing residents;
- Provide resident empowerment activities and assistance in becoming economically self-sufficient;
- Provide resources to enhance independent living for the elderly and persons with disabilities;
- Provide resident organizations capacity building and conflict resolution; and
- Improve the overall quality of life for public and Indian housing residents.

This single competitive program restructures, redefines, and consolidates resources to address welfare to work requirements, the needs of independent living for elderly and persons with disabilities; promotes self sufficiency and personal responsibility among residents; and provides increased flexibility with reduced workloads and the possibility of more dollars for Public Housing Agencies (PHAs), Indian Tribes, and Tribally Designated Housing Entities (TDHEs) to increase their efforts to assist public and Indian housing residents. HUD is looking for applications that implement practical solutions within the grant term, and that result in improved economic self-sufficiency for public housing residents. This philosophy should be reflected in your proposed grant activities.

The ROSS Program funding categories are:

- Resident Management and Business Development
- Capacity Building
- Conflict Resolution
- Resident Service Delivery Models (Family)
- Resident Service Delivery Models (Elderly/Disabled)
- Service Coordinators (Renewals only)

Eligible applicants, eligible activities, selection processes, and application deadlines vary for each funding category. Please pay careful attention to the details for the category to which you are applying.

The Notice of Funding Availability (NOFA), found in the back of this application kit, contains information concerning the program's purpose, applicant eligibility, eligible activities, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results. **All potential applicants should review the SuperNOFA in its entirety prior to completing their application. The General Section and the program NOFA contain additional information and complete details on application and program requirements.**

This application kit should be used to apply for a grant under the ROSS grant program in order for HUD to review and evaluate the applicant's eligibility, proposed grant activities, costs, and administrative capacity for successful grant implementation.

ORGANIZATION OF APPLICATION KIT

This Application Kit includes general instructions for preparation of an application and blank forms and worksheets particular to ROSS in:

Part I. Basic Program Requirements — This part provides information on how to develop your application. For additional information, please contact your local HUD Field Office with delegated public and assisted housing responsibilities, Director, Public Housing Division, or the Public and Indian Housing Information and Resource Center at 1-800-955-2232.

Part II. Cover Materials – This part provides a cover sheet, fact sheet, and program summary to be completed by all applicants and used as cover materials in their applications. **On your cover sheet, make sure you insert the name of the appropriate HUD Field Office.** Each funding category will have a separate checklist to be inserted among the cover materials as well. Those checklists are located in Parts III – VI, which provide application submission materials for each ROSS funding category.

Part III – VI. Program Submission Requirements for All Funding Categories – Cover sheets, instructions for narratives, charts, and other submission materials are provided for use in preparing your application in any of the funding categories. Each Tab has instructions for the information to be provided. Your application requires submissions under separate “Tabs.” Please use each cover sheet as part of the first page for each tabbed section of your application. Use additional sheets as needed when developing sections of your application. Selected *sample* materials are often included for your convenience.

Part VII. Other Certifications and Assurances – Blank copies of forms particular to the ROSS program are included in this section.

If you are **only** applying for ROSS program funds, place original signed certifications and assurances in the final tab of your ROSS application. If you are applying for funding under more than one program in this SuperNOFA, you need only submit one originally signed

SF-424 and one set of original signatures for the other standard assurances and certifications. As long as you submit one **originally signed set** of these documents with an application, you need submit only copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications.

APPLICATION SUBMISSION

Except for the Resident Service Delivery Models funding category, eligible applications will be funded on a first-come, first-served basis, and applicants are urged to make their submissions as soon as possible.

By the application due date **an original and one copy** of the application must be received at the Grants Management Center (GMC). One copy must also be sent at the local Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public Housing. Applications should be sent to the GMC at the following address: Grants Management Center, Attention: Director, 501 School Street, S.W., Suite 800, Washington, D. C. 20024. A list of HUD Field offices is included in the SuperNOFA.

In the case of Tribes/TDHEs, please submit the original and one copy of your application to ONAP at the Denver Program Office, 1999 Broadway, Suite 3390, Denver, CO 80202. All applications must be received and postmarked by the specific program application due date to the ONAP Denver Program Office before 12:00 midnight, Mountain Standard Time.

Applications that do not meet the requirements for timeliness will not be evaluated. Facsimile and telegraphic applications are not authorized and shall not be considered. Follow all delivery instructions in Section I of the SuperNOFA.

OMB APPROVAL

The application kit has been approved by the U.S. Office of Management and Budget. The approval number for ROSS is 2577-0211.

INFORMATION CONTACTS

Additional copies of this application kit or the SuperNOFA may be obtained by calling the HUD SuperNOFA Center at **1-800-HUD-8929** or on the HUD website at <http://www.hud.gov>. If you have questions about this application kit or the program in general, please contact the nearest HUD Field Office or the HUD Public and Indian Housing Information and Resource Center at **1-800-955-2232**, P.O. Box 8577, Silver Spring, MD 20907. **Tribes and TDHEs** with questions should contact their local Area ONAP or Tracy Outlaw, Denver Program Office, at 1-800-561-5916 or 303-675-1600.

VIDEO BROADCAST INFORMATION

HUD will conduct a video broadcast on the ROSS program on February 21, 2001, from 12:30-4:30 eastern time. Within 24-48 hours of this live broadcast, HUD will archive a

copy of the broadcast on its web site <http://www.hud.gov/grants>, to be available for viewing until the last application due date.

GENERAL TIPS FOR GRANT APPLICATION PREPARATION

- * Please **read carefully** both the **General Section of the SuperNOFA** and the **ROSS Program NOFA**. Careful reading will help ensure that you apply for program funding for which your organization is eligible to receive funds and you fulfill all of the requirements for that program.
- * Please note that if there is a discrepancy between information provided in the application kit and the information in either the General Section of the SuperNOFA or the ROSS Program NOFA, the information in the NOFA prevails.
- * You are requested to follow the required Application Checklist for organizing your application. Follow Tabs, include all required narrative information and forms, and number each page.
- * Please prepare your application using simple language to address each Tab as outlined respectively in Parts III, IV, V, or VI. Although HUD staff will review your application, imagine that someone from another agency, with no housing, economic development or supportive services program knowledge, will be reading the application.
- * Please follow instructions on each form for completing all Standard Forms as identified in the General Section of the SuperNOFA and in the Program NOFA: 424, 424-A, 424-B, 424-M, 2880, 2990, 2991, 2992, 50070, 50071, and LLL. These forms, located in Part VII of this application kit, must be submitted with the application.
- * Make sure that your budget numbers are consistent between the SF424-A and Chart D: Summary Budget Work Plan.
- * Make sure the preparation of the application is a collaborative effort between you and the targeted resident community. Input from the resident community is critical and *must* be included in the process.
- * To conform with NOFA requirements, you must arrange with your partner agency(ies) to have MOA/MOUs and other letters of support signed in ample time to meet the application deadline. Letters in support of an application received *after* the deadline date *will not* be accepted.

You may have more than one person read over your application to ensure that all required information and forms are included in the application (and copies) being submitted. Double check that every applicable Tab is addressed.

You **must** address all Threshold Requirements and, if applicable, Rating Factors specified in the program NOFA and SuperNOFA. Furthermore, please note that all applicants in a joint application, not just the lead, are subject to meeting Threshold Requirements in order for a joint application to be considered for funding.

PART I

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

FY 2001 FUNDING

***BASIC PROGRAM
REQUIREMENTS***

ROSS FY 2001 FUNDING

ROSS BASIC PROGRAM REQUIREMENTS

THRESHOLD REQUIREMENTS

The HUD Grants Management Center (GMC) will conduct a threshold review to determine applicant eligibility. Under the threshold review, you will be rejected from the competition if you do not meet all threshold requirements of this ROSS program NOFA and the general threshold requirements of the SuperNOFA (See Section II of the SuperNOFA) – if the standards are not met in the following ROSS funding categories:

Resident Management and
Business Development (RMBD)

Capacity Building and/or
Conflict Resolution (CB/CR)

Resident Service Delivery
Models (RSDM)

Service Coordinators for Elderly
and Persons with Disabilities (SC)

APPLICATION SELECTION PROCESS

General. In the Resident Service Delivery Models grant, you will receive a rating for technical merit or threshold compliance that will include any sub-contractors, consultants, sub-recipients, and members of consortia firmly committed to the project. In the non-competitive ROSS programs, your submissions must reflect any sub-contractors, consultants, sub-recipients, and partners firmly committed to the project.

After HUD has evaluated all applications and made selections, HUD may require, depending upon the program, that all winners participate in negotiations with their HUD Field Office to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of funds and to ensure that the purposes of a specific program are met.

HUD may choose not to fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements, that do not meet the requirements of this SuperNOFA, or that may be duplicative of other funded programs or

activities from previous years' awards. HUD may choose to fund only the eligible portions of your application.

NUMBER OF APPLICATIONS PERMITTED

General. Each applicant may submit **no more than one** application under this program NOFA. The **only exception** is that PHA applicants for Service Coordinator Renewal grants may also apply in one additional funding category. The five categories, other than Service Coordinator Renewal grants, are:

- Resident Management and Business Development
- Capacity Building
- Conflict Resolution
- Resident Service Delivery Models-Family
- Resident Service Delivery Models-Elderly/Disabled

Further, to avoid funding duplication, **only one** application—from either a PHA, one of its RAs, or a nonprofit—can be submitted to serve a particular development. Please read each funding category carefully for additional limitations.

GRANT TERM

The term of your ROSS grant (except Service Coordinators) will be for 36 months from execution of the grant agreement. The term of your Service Coordinator grant will be 12 months.

ADMINISTRATIVE

Administrative costs may not exceed 20% of total grant costs.

ASSEMBLING YOUR APPLICATION

This application kit provides the basic tools needed for preparing a complete grant application. Please use the items in Part II of this application kit as cover materials for your application. Part III (Resident Management and Business Development), Part IV Capacity Building and/or Conflict Resolution, Part V (Resident Service Delivery Models), and Part VI (Service Coordinators) contain all other tab cover sheets and threshold and application submission requirements. Other blank certifications and assurances can be found in Part VII of this application kit.

If you are **only** applying for ROSS program funds, place signed certifications and assurances in the final tab of your ROSS application.

If you are applying for funding under **more than one program** in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix provided in each application kit. As long as you submit one **originally signed set** of these

documents with an application, you need submit only copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications.

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Application Deadline. May 24, 2001

Application Selection Process. Applicants for Resident Management and Business Development Grants are required to address application submission requirements, but are not required to address selection criteria. Your eligibility will be determined by applications that meet the threshold requirements of the program NOFA and the threshold requirements contained in the General Section of the SuperNOFA.

HUD will accept for funding until **May 24, 2001** the first five eligible applications from each of the ten federal regions and ONAP. Any funds remaining after making awards to the first five eligible applications from each region will be awarded to the next eligible application from each region and ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. Where physical improvements are proposed (except for Tribes/TDHEs), HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

Eligible Applicants.

- Site-Based Resident Associations (RAs) [includes RCs, RMCs, and ROs] and City-Wide Resident Organizations (CWROs).
- If an RA is a beneficiary or recipient of a proposed RMBD grant activity by a CWRO, the RA cannot also apply under this category.
- Tribes/Tribally Designated Housing Entities (TDHEs) that partner with tribal resident organizations and RMCs.
- FY 2000 ROSS applicants may apply for FY 2001 ROSS programs. In FY 2001, HUD will not fund duplicate applications from FY 2000.

Grant Amount.

Total Available: \$6.0 million, of which \$500,000 is set aside for Tribes/TDHEs.

Maximum Grant Award: \$100,000 per applicant

Eligible Participants. Program participants **must** be residents of conventional public or Indian housing. No persons participating in other housing assistance programs are eligible. RMBD applicants must also provide a certification that at least 51% of those served by the activities are affected by welfare reform.

Eligible Activities. See NOFA Section III, (C).

CONFLICT RESOLUTION OR CAPACITY BUILDING

Application Deadline. May 24, 2001

Application Selection Process. Applicants for the Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Applicants are required to include letters of support from the PHA on behalf of RAs to be served.

Your eligibility will be determined by applications that meet the program threshold requirements and the general threshold requirements of the SuperNOFA. HUD will accept for funding until **May 24, 2001** the first two eligible applications from each of the ten federal regions and ONAP.

Any funds remaining after making awards to the first two eligible applications from each region will be awarded to the next eligible application from each region and ONAP, then the next, and so forth until funds are exhausted.

Eligible Applicants.

- Intermediary Resident Organizations (IROs) may apply for Capacity Building or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations (CWRO), and Jurisdiction-Wide Resident Organizations.
- Tribes/TDHEs on behalf of tribal housing residents, resident organizations, and RMCs.
- Nonprofits that operate as associations and/or networks that administer programs that benefit public and Indian housing resident organizations are also eligible for this funding category.
- Eligible applicants cited above may submit **either** one application for Conflict Resolution **or** one application for Capacity Building.
- FY 2000 ROSS applicants may apply for FY 2001 ROSS programs. In FY 2001, HUD will not fund duplicate applications from FY 2000.

Grant Amount.

Total Available: \$5.0 million, of which \$400,000 is set aside for Tribes/TDHEs.

Maximum Grant Award:

City-Wide Resident Organizations (CWROs) - \$100,000 per applicant, required to serve a minimum of 3 RAs.

All other eligible applicants - \$240,000 per applicant, required to serve a minimum of 10 RAs.

Applicants are required to allocate **at least** two-thirds of the total grant to direct funding of CB or CR activities for Site-Based Resident Associations (RAs).

Eligible Activities. *See NOFA Section III, (D)*

RESIDENT SERVICE DELIVERY MODELS

Application Deadline. June 26, 2001.

Application Selection Process.

All applications are due no later than **June 26, 2001**. Three types of reviews will be conducted: a screening to determine if the application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate the applications based on five rating factors listed in the NOFA. A minimum score of **70** is required to be considered for funding. If you are proposing physical improvement activities, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

The selection process is designed to achieve both geographic diversity and a more equitable distribution of grant awards throughout the country. HUD will conduct the selection process as follows: HUD will first select the highest ranked application from each of the ten Federal regions and ONAP for funding. After this "round," HUD will select the second highest ranked application in each of the ten Federal regions and ONAP for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each Federal region and ONAP until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds.

In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this NOFA.

Eligible Applicants.

- Family grants – PHAs, Tribes/TDHEs, RAs (resident management corporations, resident councils, or resident organizations), and nonprofit entities supported by residents. Intermediary Resident Organizations (IROs) with IRS 501(c) status are eligible to apply as nonprofit entities supported by residents.
- Elderly/Disabled grants – PHAs, Tribes/TDHEs, and nonprofits supported by a duly elected resident council.
- FY 2000 ROSS applicants may apply for FY 2001 ROSS programs. In FY 2001, HUD will not fund duplicate applications from FY 2000.

Grant Amount.

Total Available: \$24 million, of which \$1.2 million is set aside for Tribes/TDHEs.

Maximum Family Grant Award:

For PHAs/Tribes/TDHEs with 1 to 780 occupied family conventional public/Indian housing units, the maximum grant award is \$250,000.

For PHAs/Tribes/TDHEs with 781 to 7,300 occupied family conventional public/Indian housing units, the maximum grant award is \$500,000.

For PHAs/Tribes/TDHEs with 7,301 or more occupied family conventional public/Indian housing units, the maximum grant award is \$1,000,000.

Maximum Elderly/Disabled Grant Awards:

For PHAs/Tribes/TDHEs with 1 to 217 conventional public/Indian housing units occupied by elderly residents and persons with disabilities, the maximum grant award is \$100,000.

For PHAs/Tribes/TDHEs with 218 to 1,155 conventional public/Indian housing units occupied by elderly residents and persons with disabilities, the maximum grant award is \$200,000.

For PHAs/Tribes/TDHEs with 1,156 or more conventional public/Indian housing units occupied by elderly residents and persons with disabilities, the maximum grant award is \$300,000.

Tribes/TDHEs should use the number of units counted as Formula Assisted Stock for Fiscal Year 1999 as defined in 24 CFR 1000.316. Tribes that have not previously received funds for the Department under the *1937 Housing Act* should count housing units under management that are owned and operated by the Tribe and are identified in their housing inventory as of September 30, 1997.

The maximum grant award for each RA is \$100,000.

Nonprofit entities (including IROs) supported by residents or RAs are limited to \$100,000 for each RA to be served. These nonprofit entities may submit a single application to serve **no more than three different RAs**, for a maximum grant award of \$300,000.

Eligible Participants. The persons participating in and receiving benefits from RSDM family activities must be residents of conventional public or Indian housing. No persons participating in other housing assistance programs are eligible.

RSDM Family applicants must provide a certification that at least 51% of those served by the activities are affected by welfare reform.

Eligible Activities. See *NOFA Section III (D)*.

SERVICE COORDINATORS

Application Deadline. Applications will be accepted until funds are awarded or until June 28, 2001.

Application Selection Process. Applicants are required to address application submission requirements, but are not required to address selection factors for Elderly Service Coordinator Grants. PHAs must meet the application and threshold requirements set forth in this NOFA and SuperNOFA, and submit all of the required information. Service Coordinator renewal applications will be accepted **until all funds are awarded or until June 28, 2001**, whichever occurs first.

Eligible Applicants.

- This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities that were initially awarded Service Coordinator grants in FY 1995. **Please note** that any FY 2000 awardee may apply under this FY 2001 round. No applications for new Service Coordinator grants will be accepted.

Grant Amount.

Total Available: \$20 million

Maximum Grant Award: Award amounts cannot be higher than the applicant's most recent renewal funding and staffing for any 1-year period level that was approved for their last funded Service Coordinator grant. An increase of up to 2% over this amount will be allowed if supported by narrative justification.

Eligible Participants. To be served by a Service Coordinator, a public housing development must have elderly residents and/or non-elderly residents with disabilities who together total at least 25% of the building's residents.

Eligible Activities. See *NOFA Section III, (E)*

PART II

**RESIDENT OPPORTUNITIES AND
SELF SUFFICIENCY**

FY 2001 FUNDING

COVER MATERIALS

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

APPLICATION FOR FY 2001 FUNDING COVER SHEET

Funding Category (Check only ONE):

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models – Elderly/Disabled
- ☐ Service Coordinators

**Submitted
By:**

(Applicant Name)

**Contact
Person:**

Telephone: () _____

Delivered To:

(HUD Field Office)

Date:

PLEASE USE THIS PAGE AS COVER PAGE

Application for Federal Assistance

OMB Approval No. 0348-0043

		2. Date Submitted (mm/dd/yyyy)	Applicant Identifier
1. Type of Submission Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. Date Received by State (mm/dd/yyyy)	State Application Identifier
		4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier
5. Applicant Information			
Legal Name		Organizational Unit	
Address (give city, county, State, and zip code)		Name and telephone number of the person to be contacted on matters involving this application (give area code)	
6. Employer Identification Number (EIN) (xx-yyyymm)		7. Type of Applicant (enter appropriate letter in box) <input style="width: 40px; height: 20px;" type="text"/>	
8. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="text"/> <input type="text"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify) _____		A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning	
		J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Nonprofit O. Public Housing Agency P. Other (Specify) _____	
10. Catalog of Federal Domestic Assistance Number (xx-yyy)		9. Name of Federal Agency	
Title: <input style="width: 40px; height: 20px;" type="text"/> — <input style="width: 40px; height: 20px;" type="text"/>		11. Descriptive Title of Applicant's Project	
12. Areas Affected by Project (cities, counties, States, etc.)			
13. Proposed Project		14. Congressional Districts of	
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project
15. Estimated Funding		16. Is Application Subject to Review by State Executive Order 12372 Process?	
Complete form HUD-424-M, Funding Matrix		a. Yes This pre-application/application was made available to the State Executive Order 12372 Process for review on: Date (mm/dd/yyyy) _____	
		b. No <input type="checkbox"/> Program is not covered by E.O. 12372 or <input type="checkbox"/> Program has not been selected by State for review.	
		17. Is the Applicant Delinquent on Any Federal Debt? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No	
18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number (Include Area Code)
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)	

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043, Washington, DC 20503).

**Please do not return your completed form to the Office of Management and Budget.
Send it to the address provided by the sponsoring agency .**

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item | Entry | Item | Entry |
|------|--|------|---|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Use form HUD-4243-M, Funding Matrix. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
– "New" means a new assistance award.
– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.
– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project. | | |

Federal Assistance Funding Matrix

The applicant must provide the funding matrix shown below, listing each program for which Federal funding is being requested, and complete the certifications.

Program*	Applicant Share	Federal Share	State Share	Local	Other	Program Income	Total
Grand Totals							

* For FHIPs, show both initiative and component

Instructions for the HUD-424-M

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This form is to be used by applicants requesting funding from the Department of Housing and Urban Development for application submissions for Federal assistance.

Enter the following information:

Program: The HUD funding program you are applying under.

Applicant Share: Enter the amount of funds or cash equivalent of in-kind contributions you are contributing to your project or program of activities.

Federal Share: Enter the amount of HUD funds you are requesting with your application.

State Share: Enter the amount of funds or cash equivalent of in-kind services the State is contributing to your project or program of activities.

Local Share: Enter the amount of funds or cash equivalent of in-kind services your local government is contributing to your project or program of activities.

Other: Enter the amount of other sources of private, non-profit, or other funds or cash equivalent of in-kind services being contributed to your project or program of activities.

Program Income: Enter the amount of program income you expect to generate and contribute to this program over the life of your award.

Total: Please total all columns and fill in the amounts.

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. Totals (sum of 6i and 6j)					
7. Program Income	\$	\$	\$	\$	\$

Section C - Non-Federal Resources				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)	\$	\$	\$	\$

Section D - Forcasted Cash Needs					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. Total (sum of lines 13 and 14)	\$	\$	\$	\$	\$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$	\$	\$	\$

Section F - Other Budget Information	
21. Direct Charges	22. Indirect Charges
23. Remarks	

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

ROSS FY 2001 FUNDING

FACT SHEET

Applicant Information

Applicant: _____

Applicant Type: ___PHA ___RA ___IRO ___NONPROFIT ___TRIBE/TDHE

HUD Region: _____ State: _____ HUD Field Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- _____ Resident Management and Business Development
- _____ Capacity Building
- _____ Conflict Resolution
- _____ Resident Service Delivery Models - Family
- _____ Resident Service Delivery Models - Elderly/Disabled
- _____ Service Coordinator Renewal

Unit Count

_____ Total number of conventional public housing units under management**
(excluding any Section 8)

_____ Total number of family-occupied conventional public housing units.

_____ Total number of elderly/disabled-occupied conventional public housing units.

****Tribal or TDHE applicants should use the unit count described in the NOFA Section II (F).**

ROSS FY 2001 FUNDING
FACT SHEET (continued)

SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION (Does not apply to SC applicants)

Name of Board Member	Title	Appointment	Term Date

Date of Last Board Election:_____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

For any previous ROSS grants you have received, you must note the Fiscal Year, ROSS Category (RSDM, RMBD, etc.), and Award Amount.

ROSS FY 2001 FUNDING

FACT SHEET (continued)

Name(s) of public housing development(s) targeted for ROSS Activities (Use additional pages if necessary.)

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or Other Authorized Representative

For: _____
Applicant Name

ROSS FY 2001 FUNDING

PROGRAM SUMMARY

Applicant: _____ **Date:** _____

Applicant type: ___PHA ___RA ___IRO ___NONPROFIT ___TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

ROSS FY 2001 FUNDING

PROGRAM SUMMARY (continued)

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

TOTAL

_____	_____
-------	-------

ROSS FY 2001 FUNDING

PART VII

OTHER CERTIFICATIONS AND ASSURANCES

ROSS Certifications and Assurances

Attached are the blank certifications and assurances to be completed and included in the final Tab of your ROSS application.

- Certification for a Drug-Free Workplace (Form HUD- 50070)
- Certification of Payments to Influence Federal Transactions (Form HUD-50071), and if applicable, Disclosure of Lobbying Activities (SF-LLL) and Disclosure of Lobbying Activities Continuation Sheet (SF-LLL-A)
- Applicant/Recipient Disclosure/Update Report (Form HUD-2880)
- Certification Regarding Debarment and Suspension (Form HUD-2992)
- Acknowledgement of Application Receipt (Form HUD-2993)

Also included is a description of the ten Federal regions and a copy of the NOFA.

Certification for a Drug-Free Workplace

U.S. Department of Housing
and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date

X

Certification of Payments to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Title	
Signature		Date (mm/dd/yyyy)

APPLICANT'S DISCLOSURE ON LOBBYING ACTIVITIES

Sign the Standard Form LLL, Disclosure of Lobbying Activities and include them in the application. Section 319 of Public Law 101-121 prohibits recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government. A common rule governing the restrictions on lobbying was published as an interim rule on February 26, 1990 (55 FR 6736), and supplemented by a Notice published June 15, 1990 (55 FR 24540). The rule requires applicants for and recipients of assistance exceeding \$100,000 to certify that no Federal funds have been or will be spent on lobbying activities in connection with the assistance. The rule also requires disclosures from applicants and recipients if non-appropriated funds have been spent or committed for lobbying activities if those activities would be prohibited if paid with appropriated funds. The law provides substantial monetary penalties for failure to file the required certification or disclosure.

Attached is Standard Form LLL, and if needed Standard Form LLL-A (Continuation Sheet). Complete and include this form in the ROSS application.

Approved by OMB 0348-0046

1. Type of Federal Action <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance		2. Status of Federal Action <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award c. post-award		3. Report Type <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year (yyyy) _____ quarter _____ date of last report (mm/dd/yyyy)_____	
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____ , if known: Congressional District , if known			5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime Congressional District , if known		
6. Federal Department/Agency			7. Federal Program Name/Description CFDA Number , if applicable _____		
8. Federal Action Number , if known			9. Award Amount , if known \$ _____		
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI)			b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI) (attach continuation sheet(s) if necessary)		
11. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			13. Type of Payment (check all that apply) <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other (specify) _____		
12. Form of Payment (check all that apply) <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____					
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11 (attach continuation sheet(s) if necessary)					
15. Continuation sheets attached <input type="checkbox"/> Yes <input type="checkbox"/> No					
16. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature _____ Print Name _____ Title _____ Telephone No. _____ Date (mm/dd/yyyy) _____		
Federal Use Only:			Authorized for Local Reproduction Standard Form-LLL (7/97)		

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 3/31/2003)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report ☐ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code):

() -

2. Social Security Number or
Employer ID Number:

- -

3. HUD Program Name

4. Amount of HUD Assistance
Requested/Received

5. State the name and location (street address, City and State) of the project or activity:

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3).
☐ Yes ☐ No
2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9
☐ Yes ☐ No.

If you answered "**No**" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form.
However, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

- All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

(Note: Use Additional pages if necessary.)

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature:

Date: (mm/dd/yyyy)

X

Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §4.38.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions

Overview.

A. Coverage. You must complete this report if:

- (1) You are applying for assistance from HUD for a specific project or activity **and** you have received, or expect to receive, assistance from HUD in excess of \$200,000 during the fiscal year;
- (2) You are updating a prior report as discussed below; or
- (3) You are submitting an application for assistance to an entity other than HUD, a State or local government if the application is required by statute or regulation to be submitted to HUD for approval or for any other purpose.

B. Update reports (filed by "Recipients" of HUD Assistance):

General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

Line-by-Line Instructions.

Applicant/Recipient Information.

All applicants for HUD competitive assistance, must complete the information required in blocks 1-5 of form HUD-2880:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered.
2. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
3. Applicants enter the HUD program name under which the assistance is being requested.
4. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. **NOTE:** In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.
5. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

Part I. Threshold Determinations - Applicants Only

Part I contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

If the answer to **either** questions 1 or 2 is No, the applicant need not complete Parts II and III of the report, but must sign the certification at the end of the form.

Part II. Other Government Assistance and Expected Sources and Uses of Funds.

A. Other Government Assistance. This Part is to be completed by both applicants and recipients for assistance and recipients filing update reports. Applicants and recipients must report any other government assistance involved in the project or activity for which assistance is sought. Applicants and recipients must report any other government assistance involved in the project or activity. Other government assistance is defined in note 4 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available.
2. State the type of other government assistance (e.g., loan, grant, loan insurance).
3. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).
4. Uses of funds. Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a

number of structural costs, such as roof, elevators, exterior masonry, etc.

- B. Non-Government Assistance. Note that the applicant and recipient disclosure report must specify all expected sources and uses of funds - both from HUD **and any other source** - that have been or are to be, made available for the project or activity. Non-government sources of funds typically include (but are not limited to) foundations and private contributors.

Part III. Interested Parties.

This Part is to be completed by both applicants and recipients filing update reports. Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses. If the person is an entity, the listing must include the full name and address of the entity as well as the CEO. Please list all names alphabetically.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

Notes:

1. All citations are to 24 CFR Part 4, which was published in the Federal Register. [April 1, 1996, at 63 Fed. Reg. 14448.]
2. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Fed. Acquisition Regulation (FAR) (48 CFR Chapter 1).
3. See 24 CFR §4.9 for detailed guidance on how the threshold is calculated.
4. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
5. For the purpose of this form and 24 CFR Part 4, "person" means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

Certification Regarding Debarment and Suspension

U.S. Department of Housing
and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official		Title

Acknowledgment of Application Receipt

U.S. Department of Housing
and Urban Development

Type or clearly print the Applicant's name and full address in the space below.

(fold line)

Type or clearly print the following information:

Name of the Federal
Program to which the
applicant is applying: _____

To Be Completed by HUD

☐

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

☐

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

☐

Enclosed

☐

Being sent under separate cover

Processor's Name _____

Date of Receipt _____

Client Comments and Suggestions

U.S. Department of Housing
and Urban Development

You are our Client! Your comments and suggestions, please!

The Department of Housing and Urban Development in preparing this Notice of Funding Availability and application forms, has tried to produce a more user friendly, customer driven funding process. Please let us have your comments and recommendations for improvements to this document. You may leave this form attached to your application, or feel free to detach the form and return it to:

The Department of Housing and Urban Development
Office of Grants Management and Compliance
Room 2182
451 7th Street, SW
Washington, DC 20410

Please Provide Comments on HUD's Efforts:

The NOFA (insert title) _____

is: (please check one)

- (a) ☐ is clear and easily understandable
- (b) ☐ better than before, but still needs improvement (please specify)

(c) other (please specify)

The application form (insert title) _____

is: (please check one)

- (a) ☐ is acceptable given the volume of information required by statute and the volume of information required for accountability in selecting and funding projects.
- (b) ☐ is simpler and more user-friendly than before, but still needs work (please specify).

(c) other comments (please specify)

Name & Organization (Optional):

Are additional pages attached? ☐ Yes ☐ No

FEDERAL REGIONS

Region 1

Connecticut
Maine
Massachusetts
New Hampshire
Rhode Island
Vermont

Region 2

New Jersey
New York

Region 3

Delaware
District of Columbia
Maryland
Pennsylvania
Virginia
West Virginia

Region 4

Alabama
Florida
Georgia
Kentucky
Mississippi
North Carolina
Puerto Rico
South Carolina
Tennessee

Region 5

Illinois
Indiana
Michigan
Minnesota
Ohio

Wisconsin

Region 6

Arkansas
Louisiana
New Mexico
Oklahoma
Texas

Region 7

Iowa
Kansas
Missouri
Nebraska

Region 8

Colorado
Montana
North Dakota
South Dakota
Utah
Wyoming

Region 9

Arizona
California
Hawaii
Nevada

Region 10

Alaska
Idaho
Oregon
Washington

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**RESIDENT OPPORTUNITIES AND
SELF-SUFFICIENCY (ROSS)
PROGRAM**

FUNDING AVAILABILITY FOR PUBLIC HOUSING RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY (ROSS) PROGRAM

Program Overview

Purpose of Program. The purpose of the Public Housing Resident Opportunities and Self Sufficiency (ROSS) Program is to link services to public housing residents by providing grants for supportive services, resident empowerment activities and activities to assist residents in becoming economically self-sufficient.

Available Funds. Approximately \$55 million.

Eligible Applicants. Public Housing Agencies (PHAs), resident management corporations, resident councils, resident organizations, Intermediary Resident Organizations (IROs), City-Wide Resident Organizations (CWROs) and nonprofit entities supported by residents. Indian Tribes (Tribes) and Tribally Designated Housing Entities (TDHEs) are eligible for grants under the Technical Assistance/Training Support for resident organizations and Resident Service Delivery Models (RSDM) funding categories.

Application Deadline. May 24, 2001, for Resident Management and Business Development;

May 24, 2001, for Capacity Building or Conflict Resolution;

June 26, 2001, for Resident Service Delivery Models; and

After publication of this SuperNOFA, Service Coordinator grant renewals under the Service Coordinator category will be accepted until all funds are awarded or June 28, 2001, whichever occurs first.

Match. At least 25% of the grant amount. This match does not have to be a cash match. The match can be in-kind and/or cash contributions.

Additional Information

If you are interested in applying for funding under any of these programs, please review carefully the General Section of this SuperNOFA and the following additional information.

I. Application Due Date, Application Kits, Further Information and Technical Assistance

Application Due Date. Your completed application (one original and two copies) is due on or before 12:00 midnight, Eastern time, on the following application due dates to HUD Headquarters at the address shown below.

May 24, 2001, for Resident Management and Business Development;

May 24, 2001, for Capacity Building or Conflict Resolution;

June 26, 2001, for Resident Service Delivery Models; and

After publication of this SuperNOFA Service Coordinator grant renewals under the Service Coordinator Category will be accepted until all funds are awarded or June 28, 2001, whichever occurs first.

See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mail application, express mail, overnight delivery, or hand-carried).

Address for Submitting Applications. Submit your completed application (the original and one copy) to Grants Management Center (GMC), 501 School Street, SW, Suite 800, Washington, DC 20024.

In the case of tribes/TDHEs, please submit your completed application (the original and one copy) to ONAP, Denver Program Office, 1999 Broadway, Suite 3390, Denver, CO 80202.

Submit your second copy of your application to the local HUD Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public Housing. See Appendix A of the SuperNOFA for a list of HUD offices with delegated responsibility. The original application and one copy must be sent to the GMC. You may also call the SuperNOFA Information Center at 1-800-HUD-8929 if you have a question regarding where you should submit your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209.

On the application due date, hand carried applications will be accepted until 12:00 midnight in the South Lobby at HUD Headquarters, 451 Seventh Street, SW, Washington DC 20410.

In the case of tribes/TDHEs, please submit your completed application (the original and one copy) to ONAP, Denver Program Office, 1999 Broadway, Suite 3390, Denver, CO 80202. All applications must be received and postmarked by the specific program application due date to the ONAP Denver Program Office before 12:00 midnight, Mountain Standard Time.

For Application Kits. For an application kit and any supplemental material, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the ROSS Program, and provide your name, address (including zip code) and telephone number (including area

code). An application kit is also available on the Internet through the HUD web site at <http://www.hud.gov/grants>.

For Further Information and Technical Assistance. You may contact the local HUD field office where you will be submitting your application or you may call the Public and Indian Housing Information and Resource Center at 1-800-955-2232. In the case of tribes/TDHEs, please contact the Local Area ONAP or Tracy Outlaw, ONAP, Denver Program Office at 1-800-561-5913 or (303)675-1600 (this is not a toll free number).

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov/grants>.

II. Amount Allocated

(A) **Total Amount.** For FY 2001, approximately \$55 million is available for the Resident Opportunities and Self Sufficiency Program.

(B) **Allocation.** To the extent that there are a sufficient number of qualified applications, not less than 25 percent of funds available for ROSS shall be provided directly to resident councils, resident organizations, resident management corporations, Intermediary Resident Organizations (IROs), Tribes/TDHEs on behalf of Tribal residents and City-Wide Resident Organizations (CWROs). This requirement will be implemented by the awards made to resident organizations for the Technical Assistance/Training Support for Resident Organizations and the Resident Service Delivery Models funding categories.

(C) **Funding Categories and Funds Allocated to Each Category.** There are three funding categories under ROSS. The funding categories and the amount allocated for each funding category and any subcategories are as follows:

(1) **Technical Assistance/Training Support for Resident Organizations.** A total of \$11 million is allocated for this first funding category.

(a) **Resident Management and Business Development (RMBD).** A total of \$6 million is allocated for this funding subcategory of which \$500,000 is for Tribes/TDHEs that partner with Tribal ROs and Tribal RMCs.

(i) Grants will be made directly to site-based resident associations, Resident Management Corporations (RMCs), CWROs, and to Tribes/TDHEs that partner with Tribal resident organizations (ROs) and Tribal resident

management corporations (RMCs) to: increase resident involvement and participation in their housing developments; develop resident management opportunities; provide resident-led business or cooperative development opportunities; and obtain necessary supportive services for self-sufficiency.

(i) The maximum grant award for this funding category is \$100,000 per applicant.

(b) *Capacity Building or Conflict Resolution (CB/CR)*. A total of \$5 million is allocated for this funding subcategory, of which \$400,000 is for Tribes or TDHEs. These are two separate funding categories that are described below:

(i) *Capacity Building (CB)*. Grants to Intermediary Resident Organizations (IROs) and Tribes/TDHEs on behalf of tribal housing residents, Tribal ROs, Tribal RMCs and non-profits which operate associations and networks that administer programs benefiting resident organizations. These grants provide or assistance to site-based resident associations who do not yet have the capacity to administer a welfare-to-work program or conduct management activities. You may apply for funding that will be used to assist public and Tribal housing residents in establishing a new resident organization or you may apply for funds to help or enhance the capacity of existing resident organizations to enable residents to participate in housing agency decision-making, manage all or a portion of their housing developments, and/or apply for and administer grants.

(ii) *Conflict Resolution (CR)*. This funding category is designed to provide grants to Intermediary Resident Organizations (IROs), Tribes/TDHEs on behalf of tribal housing residents, Tribal ROs, Tribal RMCs and non-profits which operate associations and networks administering programs that benefit public housing residents, or resident organizations, and to partner with professional mediators or groups with grass roots intervention experience to resolve conflicts involving public housing residents, and/or site-based resident associations. (See Section IV of this ROSS competition for specific requirements for this funding category).

(iii) The maximum amounts for CB/CR are as follows: \$100,000 for City-Wide Resident Organizations (CWROs) per applicant, and \$240,000 per applicant for all other eligible applicants in these funding categories. Applicants are required to allocate at least two-thirds of the total grant to direct funding of CB or CR activities for Site-Based Resident Associations (RAs)

and/or Tribal ROs. CWROs are required to serve a minimum of 3 RAs and/or Tribal ROs. All other applicants are required to serve a minimum of 10 RAs and/or Tribal ROs.

(2) *Resident Service Delivery Models (RSDM)*. A total of \$24 million is allocated for this second category of funding of which \$1,200,000 is for Tribes/TDHEs.

(i) The Resident Service Delivery Models (RSDM) funding category provides grants to Public Housing Agencies (PHAs), Tribes/TDHEs or directly to resident management corporations, resident councils, or resident organizations, and nonprofit entities supported by residents. There are two sub-categories of grants under this funding category: Family Grants for program-related activities and supportive services to establish and implement comprehensive programs that achieve resident self-sufficiency for families; and Elderly and Persons with Disabilities Grants for independent living for the elderly and persons with disabilities.

(iii) For RSDM, the maximum grant amounts are as follows:

For PHAs applying for family grants, the maximum grant application award will be based on the number of occupied family conventional public housing units. For PHAs applying for elderly and persons with disabilities grants, the maximum grant application award will be based on the number of occupied elderly and persons with disabilities conventional public housing units.

(B) For the RSDM family category, PHAs must use the number of occupied conventional family public housing units to determine the maximum grant amount in accordance with the categories listed below for families:

—For PHAs with 1 to 780 occupied family units, the maximum grant award is \$250,000.

—For PHAs with 781 to 7,300 occupied family units, the maximum grant award is \$500,000.

—For PHAs with 7,301 or more occupied family units, the maximum grant award is \$1,000,000.

(C) For the Elderly and Persons with Disabilities RSDM Category, PHAs must use the number of occupied elderly conventional public housing units to determine the maximum awards listed below:

—For 1 to 217 units occupied by elderly residents and persons with disabilities, the maximum grant award is \$100,000.

—For 218 to 1,155 units occupied by elderly residents and persons with

disabilities, the maximum grant award is \$200,000.

—For 1,156 or more units occupied by elderly residents and persons with disabilities, the maximum grant award is \$300,000.

(D) The maximum grant award is \$100,000 for each RA.

(E) Nonprofit entities supported by residents or RAs/ROs are limited to \$100,000 for each RA/RO. A non-profit may submit a single application for no more than three different RAs for a maximum grant award of \$300,000.

(F) Tribes/TDHEs should use the number of units counted as Formula Current Assisted Stock for Fiscal Year 1999 as defined in 24 CFR 1000.316. Tribes who have not previously received funds from the Department under the 1937 Housing Act should count housing units under management that are owned and operated by the Tribe and are identified in their housing inventory as of September 30, 1998.

(3) *Service Coordinator Renewals*. A total of \$20 million is allocated for this third funding category.

(i) The Service Coordinator Renewal category provides grants to PHAs to address the needs of public housing residents who are elderly and persons with disabilities. Service coordinators help residents obtain supportive services that are needed to maintain independent living. Only renewals of prior FY 1995 Public Housing Elderly and Persons with Disabilities Service Coordinator grants will be funded under this ROSS competition; no applications for new Service Coordinator grants will be accepted.

(ii) These funds may only be used as follows:

—Renewal of existing Service Coordinator (SC) grants from prior years. This limitation is imposed to achieve Congressional intent to renew all service coordinator and congregate services grants. No applications for new elderly Service Coordinator grants will be accepted under this funding category.

—For the Elderly and Persons with Disabilities Service Coordinators category, award amounts cannot be higher than your highest funding and staffing level for any one-year period that was approved for their last funded Service Coordinator Grant. An increase of up to 2 percent over this amount will be allowed if supported by a narrative justification.

(iii) The Service Coordinator renewal application will be accepted until all funds are awarded under this Service Coordinator Category or until June 28, 2001, whichever occurs first. No new

Service Coordinator renewal applications will be accepted after June 28, 2001.

(F) *Transfer of Funds*. If all funds are not awarded in one funding category, funds are transferable to other ROSS funding categories in this competition.

(G) *Number of Applications Permitted*. You may submit no more than one application under this ROSS competition. The only exception is that PHAs applying for Service Coordinator Renewal grants under this program section of the SuperNOFA may apply for one renewal grant and one additional grant in another category. A PHA, RA, RO or nonprofit may not submit an application to serve the same development. Please read each funding category carefully for additional limitations.

III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description*. The purpose of ROSS is to assist residents to become economically self sufficient by providing supportive services and resident empowerment activities. This program is consistent with the Department's goal to most effectively focus resources on "welfare to work" and on independent living for the elderly and persons with disabilities. HUD is looking for applications which implement practical solutions within the grant term, and result in improved economic self-sufficiency for public or tribal housing residents. HUD seeks holistic solutions that involve the support of the entire community in providing self sufficiency opportunities for residents. Therefore, HUD encourages you to involve elderly and persons with disabilities in activities which support self sufficiency, such as child care, mentoring, or after school care. This philosophy should be reflected in your proposed grant activities for all funding categories within this ROSS competition. A description of each of the funding categories was provided in Section II of this program section. This section describes the eligible applicants and eligible activities of each funding category.

(B) *Definitions*.

City-Wide Resident Organization consists of members from Resident Councils, Resident Management Corporations, and Resident Organizations who reside in housing developments that are owned and operated by the same PHA within a city.

Community Facility means a non-dwelling structure that provides space for multiple supportive services for the benefit of public housing residents and

others eligible for the services provided. Services that may include but are not limited to:

- (1) Child care;
- (2) After-school activities for youth;
- (3) Job training;
- (4) Twenty/20 Education

Communities (TECs) (formerly Campus of Learners) activities; and

- (5) English as a Second Language (ESL) classes.

Contract Administrator means an overall administrator and/or a financial management agent that oversees the financial aspects of a grant and assists in the entire implementation of the grant. A signed Contractor Administrator Partnership Agreement must be included in your application. This agreement may be contingent upon you receiving a grant award and adherence to PHA procurement policies. The contract administrator must assure that the financial management system and procurement procedures fully comply with 24 CFR part 84. The Contract Administrator may be: Local Housing Agencies; community-based organizations such as Community Development Corporations (CDC), churches; non-profits; State/Regional associations and organizations. Troubled PHAs are not eligible to be Contract Administrators.

Firmly Committed means the amount of resources and their dedication to ROSS-funded activities must be explicit and in writing. The writing must be signed by a person authorized to make the commitment or certify the commitment by an authorized body or person. This written agreement may be contingent upon receiving an award.

Elderly person means a person who is at least 62 years of age.

Jurisdiction-Wide Resident Organization means an incorporated nonprofit organization or association that meets the following requirements:

- (1) Most of its activities are conducted within the jurisdiction of a single housing agency;

- (2) There are no incorporated Resident Councils or Resident Management Corporations within the jurisdiction of the single housing agency;

- (3) It has experience in providing start-up and capacity-building training to residents and resident organizations; and Public housing residents representing unincorporated Resident Councils within the jurisdiction of the single housing agency must comprise the majority of the board of directors.

Tribally Designated Housing Entity (TDHEs) is an entity authorized or established by one or more Indian tribes

to act on behalf of each such tribe authorizing or establishing the housing entity.

Indian Tribe means a tribe that is a federally recognized tribe or a State recognized tribe or a Federally recognized tribe means any tribe, band, nation, or other organized group for a community of Indians, including any Alaska native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act, that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians pursuant to the Indian Self Determination and Education Act of 1975.

Intermediary Resident Organizations means Jurisdiction-Wide Resident Organizations, City-Wide Resident Organizations, State-Wide Resident Organizations, Regional Resident Organizations, and National Resident Organizations.

National Resident Organization (NRO) means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

- (1) It is national (i.e., conducts activities or provides services in at least two HUD Areas or two States);

- (2) It has experience in providing start-up and capacity-building training to residents and resident organizations; and

- (3) Public housing residents representing different geographical locations in the country must comprise the majority of the board of directors.

Person with disabilities means a person who:

- (1) Has a condition defined as a disability in section 223 of the Social Security Act;

- (2) Has a developmental disability as defined in section 102 of the Developmental Disabilities Assistance Bill of Rights Act; or

- (3) Is determined to have a physical, mental, or emotional impairment which:

- (a) Is expected to be of long-continued and indefinite duration;

- (b) Substantially impedes his or her ability to live independently; and

- (c) Is of such a nature that such ability could be improved by more suitable housing conditions.

The term "person with disabilities" does not exclude persons who have the disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome. In addition, no individual shall be considered a person with disabilities, for purposes of eligibility for low-

income housing, solely on the basis of any drug or alcohol dependence.

The definition provided above for persons with disabilities is the proper definition for determining program qualifications. However, the definition of a person with disabilities contained in section 504 of the Rehabilitation Act of 1973 and its implementing regulations must be used for purposes of reasonable accommodations.

Program Coordinator is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving the overall grant goals and objectives.

Project is the same as "low-income housing project" as defined in section 3(b)(1) of the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.) (1937 Act).

Resident Association (RA) means any or all of the forms of resident organizations as they are defined elsewhere in this Definitions section and includes Resident Councils (RC), Resident Management Corporations (RMC), Regional Resident Organizations (RRO), Statewide Resident Organizations (SRO), Jurisdiction-Wide Resident Organizations, and National Resident Organizations (NRO).

Resident Council (RC) means (as provided in 24 CFR 964.115) an incorporated or unincorporated nonprofit organization or association that shall consist of persons residing in public housing and must meet each of the following requirements in order to receive official recognition from the PHA/HUD, and be eligible to receive funds for RC activities and stipends for officers for their related costs for volunteer work in public housing. (Although 24 CFR part 964 defines an RC as an incorporated or unincorporated nonprofit organization, HUD requires RC applicants for ROSS grants to be registered with the State at the time of application submission.) The following also applies to resident councils:

(1) The RC must adopt written procedures such as by-laws, or a constitution which provides for the election of residents to the governing board by the voting membership of the public housing residents. The elections must be held on a regular basis, but at least once every 3 years. The written procedures must provide for the recall of the resident board by the voting membership. These provisions shall allow for a petition or other expression of the voting membership's desire for a recall election, and set the percentage of voting membership which must be in agreement in order to hold a recall election. This threshold shall not be less

than 10 percent of the voting membership.

(2) The RC must have a democratically elected governing board that is elected by the voting membership. At a minimum, the governing board should consist of five elected board members. The voting membership must consist of heads of households (any age) and other residents at least 18 years of age or older and whose name appear on a lease for the unit in the public housing that the resident council represents.

(3) The RC may represent residents residing in:

- (a) Scattered site buildings in areas of contiguous row houses;
- (b) One or more contiguous buildings;
- (c) A development; or
- (d) A combination of the buildings or developments described above.

Regional Resident Organization (RRO) means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

- (1) The RRO is regional (i.e., not limited by HUD Areas);
- (2) The RRO has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical locations in the region must comprise the majority of the board of directors.

Resident Management Corporation (RMC) (see 24 CFR 964.7, 964.120) means an entity that consists of residents residing in public housing and must have each of the following characteristics in order to receive official recognition by the PHA and HUD:

(1) The RMC shall be a nonprofit organization that is validly incorporated under the laws of the State in which it is located;

(2) The RMC may be established by more than one RC, so long as each such council:

- (a) Approves the establishment of the corporation; and
- (b) Has representation on the Board of Directors of the corporation.

(3) The RMC shall have an elected Board of Directors, and elections must be held at least once every 3 years;

(4) The RMC's by-laws shall require the Board of Directors to; include resident representatives of each RC involved in establishing the corporation; include qualifications to run for office, frequency of elections, procedures for recall; and term limits if desired;

(5) The RMC's voting members shall be heads of households (any age) and other residents at least 18 years of age

and whose name appears on the lease of a unit in public housing represented by the RMC;

(6) Where an RC already exists for the development, or a portion of the development, the RMC shall be approved by the RC board and a majority of the residents. If there is no RC, a majority of the residents of the public housing development it will represent must approve the establishment of such a corporation for the purposes of managing the project; and

(7) The RMC may serve as both the RMC and the RC, so long as the corporation meets the requirements of 24 CFR part 964 for an RC.

Resident Organization (RO) for tribal entities means an incorporated or nonprofit tribal organization or association that meets each of the following criteria: (1) It shall consist of residents only, and only residents may vote; (2) If it represents residents in more than one development or in all of the developments of the tribal/TDHE community, it shall fairly represent residents from each development that it represents; (3) It shall adopt written procedures providing for the election of specific officers on a regular basis; (4) It shall have democratically elected a governing board. The voting membership of the board shall consist solely of the residents of the development or developments that the tribal RO represents.

Secretary means the Secretary of Housing and Urban Development.

Site-Based Resident Associations means Resident Councils and Resident Management Corporations.

Statewide Resident Organization (SRO) means a Site-Based incorporated nonprofit organization or association for public housing that meets the following requirements:

- (1) The SRO is Statewide;
- (2) The SRO has experience in providing start-up and capacity-building training to residents and resident organizations; and
- (3) Public housing residents representing different geographical locations in the State must comprise the majority of the Board of Directors.

(C) *Resident Management and Business Development (RMBD)*.

(1) *Eligible applicants.* Site-Based Resident Associations (RAs), Tribes/TDHEs that partner with Tribal ROs or Tribal RMCs and City-Wide Resident Organizations (CWROs). If you are an RA/RO that is a beneficiary or recipient of proposed grant activities by a CWRO/TDHE, then you cannot also apply under this category. You may only

submit one application under this funding category.

(2) *Eligible participants.* Program participants must be residents of conventional public housing. You must provide a certification that at least 51 percent of those served by your proposed activities are residents affected by welfare reform.

(3) *Eligible Activities.* Funding is limited to the following activities below:

(a) Training related to resident-owned business or cooperative development and technical assistance for job training and placement in housing developments;

(b) Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods including revolving loan funds and the development of credit unions; and legal advice in establishing a resident-managed business entity or cooperative. Revolving loan funds can not be used for acquisition, disposition, or physical development;

(c) Establishing and funding revolving loan funds. Revolving loan funds can not be used for acquisition, disposition, or physical development;

(d) Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a development;

(e) Training residents with respect to fair housing requirements; and

(f) Gaining assistance in negotiating management contracts and designing a long-range planning system.

(g) Providing social support needs (such as self sufficiency and youth initiatives) including:

(h) Feasibility studies to determine training and social services needs;

(i) Training in management-related trade skills, computer skills, and similar skills;

(j) Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance, and follow up assistance;

(k) Supportive services including: child care services; educational services, remedial education, literacy training, ESL instruction, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation

services; congregate services for the elderly or persons with disabilities; and case management;

(l) Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;

(m) Training programs on health, nutrition, safety and substance abuse; Food costs that are directly attributable to the nutrition and health training are eligible grant expenditures. These are not food costs associated with entertainment.

(n) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops can be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire, and Big Brother/Big Sisters;

(o) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils or resident organizations on youth initiatives and program activities;

(p) Physical improvements to facilities at public or tribal housing developments to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic improvements and repairs to space to conduct community activities; or to expand existing community space for your proposed ROSS activities or modifications for accessibility for persons with disabilities. Your physical improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments;

(i) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.

(ii) The renovation, conversion, or combination of vacant dwelling units in a PHA or tribal development to create common areas to accommodate the provision of supportive services is an

eligible activity for physical improvements.

(iii) The renovation of existing common areas in a PHA or tribal development to accommodate the provision of supportive services.

(iv) The renovation or repair of facilities located near the premises of one or more PHA or tribal developments to accommodate the provision of supportive services.

(v) If renovation, conversion, or repair is done off-site, the PHA, tribe or owner must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation, or other appropriate documentation.

(vi) All renovations must meet appropriate accessibility requirements, including Section 504 requirements at 24 CFR 8, Architectural Barriers Act at 24 CFR 40, the Americans with Disabilities Act and the Fair Housing Act.

(q) Establishing and operating Neighborhood Networks Centers that use computer technology and telecommunications for job training, after-school youth programs, educational, and health activities.

(4) *Ineligible Resident Management and Business Development Activities and Costs.*

(a) Entertainment, including associated costs such as food and beverages, except normal per diem for meals related to travel performed in connection with implementing the Work Plan. (See HUD Travel Notice 99-24 for more specific guidance.)

(b) Purchase or rental of land.

(c) Activities not directly related to the welfare-to-work initiatives (e.g., lead-based paint testing and abatement and operating capital for economic development activities).

(d) Purchase of any vehicle (car, van, bus, etc.).

(e) Payment of salaries for routine project operations, such as security and maintenance, or for applicant staff, except that a reasonable amount of grant funds may be used to hire a person to coordinate the Resident Management and Business Development grant activities or coordinate on-site social services.

(f) Payment of fees for lobbying services.

(g) Any expenditures that are fraudulent, wasteful or otherwise incurred contrary to HUD or OMB directives.

(h) Any cost otherwise eligible under this program section of the SuperNOFA

for which funds are being provided from any other source.

(i) Entertainment equipment such as televisions, radios, stereos, and VCRs. An exception to this item may be granted by the HUD Field Office or Area ONAP Office if funding is being utilized specifically for the purposes of establishing a business directly related to radio, television or film or some other form of technical communication, and equipment is being utilized for training of residents, ROs or RAs. All such exceptions must be authorized in writing by the HUD Field Office or Area ONAP Office before purchases may be made.

(j) The cost of application preparation is not eligible.

(5) *Supporting Information.* The following information may be useful in developing proposed grant activities and costs:

(a) *Training.* Training activities may include training on HUD regulations and policies governing the operation of low-income public housing including contracting/procurement regulations; financial management; job and business development training; capacity building to develop the necessary skills to assume management responsibilities at the project and property management; and training in accessing other funding sources.

(b) *Hiring trainers or other experts.* Resident grantees must ensure that all training is provided by a qualified public housing or management specialist (Consultant/Trainer), HUD Headquarters, Field or ONAP staff, or the local PHA or tribe /TDHE. To ensure the successful implementation of the grant Work Plan activities, you are required to determine the need to contract for outside consulting/training services. You and the PHA or tribe /TDHE must jointly select and approve the consultant/trainer. Your application should make maximum use of your PHA, non profit, or other Federal, State, or local government resources for technical assistance and training needs. The amount allowed for hiring an individual consultant for this purpose shall not exceed 30% of your total grant amount or \$30,000, whichever is less. The amount available for all consultants and contracts should not exceed 50% of your grant amount or \$50,000 whichever is less. HUD Field or ONAP Offices will monitor this process to ensure compliance with program and OMB requirements, and particularly the requirement for competitive bidding. Where it is necessary to exceed the 50% limitation you must use performance based contracting. Performance based contracts require that fees be paid in

exchange for goods and services actually delivered. For example, a trainer would be paid for the number of residents that were trained, i.e. performance, regardless of the maximum dollar amount quoted in the contract.

(c) *Stipends.* Trainees and program participants of an RA, RO or CWRO, may receive stipends for participating in or receiving training under Resident Management to cover reasonable costs related to participation in training and other activities in your program, subject to the availability of funds. The stipends should be used for additional costs incurred during the training programs, such as child care and transportation costs. The cost of stipends may not exceed \$200 per month per trainee without written HUD Field Office authorization.

(d) *Reimbursement of Reasonable Expenses.* Reimbursement of reasonable expenses incurred by Officers and Board members in the performance of their fiduciary duties and/or training related to the performance of their official duties.

(e) *Travel.* Travel directly related to the successful completion of your required Work Plan. You must adhere to the travel policy established by HUD Notice 99-24. This policy sets travel costs at a maximum amount of \$5,000 per RA or RO without special HUD approval.

(f) *Child-Care Expenses.* Child care expenses for individual staff, board members, or residents in cases where those who need child care are involved in training-related activities associated with your grant activities.

(g) *Costs incurred by a RA or RO in applying for 501(c) tax exempt status with Internal Revenue Service.* Please refer to the Internal Revenue Service (IRS) Publication 557, which describes the requirements for section 501(c) tax exempt organizations and list the applicable forms required.

(h) *Administrative costs.* These costs are necessary for the implementation of your grant activities. Administrative costs are not to exceed 20% of the grant. Appropriate administrative costs include, but are not limited to, the following reasonable costs or activities:

(i) *Space and equipment.* Maintenance, utility costs, postage, building lease/rental costs, purchase or lease of telephone, computer, printing, copying, and sundry non-dwelling equipment (such as office supplies, software, and furniture). You must justify the need for this equipment or space based on services being delivered in relationship to implementing your approved grant activities.

(ii) *Rental or lease of vehicles.* Rental or lease of a car, van, or bus by resident grantees to attend training;

(6) *Grant term.* The grant term for Resident Management and Business Development grants is thirty-six months from the execution date of your grant agreement.

(D) *Capacity Building or Conflict Resolution.*

(1) *Eligible applicants.* (a) Intermediary Resident Organizations (IROs) on behalf of public or Indian housing residents, which include Public Housing Site-Based Resident Councils, Resident Organizations and Resident Management Corporations may apply for Capacity Building and/or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations, and Jurisdiction-Wide Resident Organizations.

(b) Eligible applicants cited above may submit either one application for conflict resolution or one application for capacity building under this funding category.

(c) Non-profits that operate as associations or networks that administer programs that benefit public or Indian housing resident organizations are also eligible for this funding category.

(2) *Eligible activities.* (a) *Conflict resolution.* Conflict resolution grant activities may include, but are not limited to:

(i) Establishing violence-free zones to enhance the quality of living environment for public housing residents. The eligible activities for your proposed program must address one or more of the following areas: violent crime, youth violence, and/or violent gang activity in your housing development or living environment. These areas must be addressed in your application. You must at a minimum focus on one of these areas, but may include the others where appropriate. Your grant application must include specific processes or techniques to prevent and reduce violent crime that are measurable within the grant term. Implementation strategies may include training at the grass roots level, resident employment; resident partnership with local law enforcement; personal skill-building to strengthen individual character development; and management techniques for preventing violence. You must identify the public housing development(s) that will serve as the focus for proposed grant activities. Any other areas, (e.g., negatively impacted neighborhoods and assisted/insured housing developments)

which benefit from your proposed grant activities must be adjacent to the public housing development;

(ii) Training programs on mediation and communication skills;

(iii) Training programs on dispute resolution and reconciliation, including training addressing racial, ethnic and other forms of diversity;

(iv) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, social skills, goal planning, health, wellness and nutrition. The workshops may be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc. Food costs that are directly attributable to the actual nutrition, wellness and health training are an eligible grant expenditure. These are not food costs associated with entertainment.

(v) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations resident organizations and resident councils on youth initiatives and program activities.

(b) *Capacity Building*. Eligible activities for CB grants may include, but are not limited to:

(i) Training Board members in community organizing, Board development, and leadership training;

(ii) Conducting the feasibility of training existing resident groups for resident management or for a specific resident management project;

(iii) Assisting in the creation of an RMC, such as consulting and legal assistance to incorporate, preparing by-laws and drafting a corporate charter;

(iv) Developing the management capabilities of existing resident organizations;

(v) Determining the feasibility of homeownership by residents, including assessing the feasibility of other housing (including HUD-owned or held single or multi-family) affordable for purchase by residents.

(3) *Ineligible Activities*. Ineligible activities are the same as those listed in Section III(C)(4) of this program section of the SuperNOFA, above.

(a) In addition, physical development activities are not eligible for funding under CB or CR grants.

(b) The cost of application preparation is not eligible.

(4) *Administrative costs* may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(5) *Grant term*. The grant term for both Conflict Resolution and Capacity Building grants is thirty-six months from the execution date of the grant agreement.

(E) *Resident Service Delivery Models (RSDM)*.

(1) *Eligible Applicants*. (a) *Family*. This funding category provides grants to PHAs, Tribes/TDHEs, resident management corporations, resident councils, resident organizations, and nonprofit entities supported by residents, to enable them to establish and implement comprehensive programs that assist residents in becoming self-sufficient

(b) *Elderly and Persons with Disabilities*. PHAs, Tribes/TDHEs and non-profits supported by a duly elected resident council are the only eligible applicants in providing supportive services for the elderly and persons with disabilities.

(c) IROs with 501(c) status may apply as non-profit entities under this funding category.

(2) *Number of RSDM Applications Permitted*. (a) *General*. PHAs must submit an application either for a family or an elderly grant. ROs or RCs must submit one application for a family grant; and non-profits may submit one application for a family or elderly grant representing up to three public or Indian housing resident groups.

(b) *Joint applications*. Two or more applicants may join together to submit a joint application for proposed grant activities. Joint applications must designate a lead applicant. All parties in a joint application (lead or non-lead) are considered to be applying for ROSS and are therefore subject to the limit of one ROSS application per applicant, with the exception of those Public Housing Service Coordinator renewal applicants that may also apply in one additional ROSS category. Both lead and non-lead applicants are subject to threshold requirements. Joint applications may include PHAs, RAs, IROs, Tribes/TDHEs, and nonprofit entities on behalf of residents organizations. Joint applications must also provide evidence of resident support. The maximum funding for joint applications cannot exceed the sum of the individual grants as specified above. Any eligible applicant can serve as a lead applicant.

(3) *Eligible participants*. Program participants must be residents of

conventional public or Indian housing. You must provide a certification that at least 51 percent of those served by your proposed activities are residents affected by welfare reform.

(4) *Eligible Activities*. Funds may be used for the activities described below for the family category.

(a) *Program Coordinator*. You are encouraged to include a Program Coordinator for either proposed family or elderly RSDM activities for the entire term of your grant. A Program Coordinator is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving overall grant goals and objectives.

(b) *Physical improvements*. Physical improvements to provide space for self-sufficiency activities for residents (i.e. to provide cosmetic repairs for space to conduct community activities; or to expand existing community space for proposed ROSS activities) or modification for accessibility for persons with disabilities. Physical improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Physical improvements include the following:

(i) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements;

(ii) The renovation, conversion, or combination of vacant dwelling units in a housing development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement;

(iii) The renovation of existing common areas in a housing development to accommodate the provision of supportive services is an eligible activity for physical improvements;

(iv) The renovation or repair of facilities located near the premises of one or more housing developments to accommodate the provision of supportive services is an eligible activity for physical improvements;

(v) If renovation, conversion, or repair is done off-site, you must provide documentation that you have control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership

documentation or other appropriate documentation.

(vi) All renovations must meet appropriate section 504 accessibility requirements.

(c) *Entrepreneurship training.* Entrepreneurship training includes literacy training, computer skills training, business development planning.

(d) *Entrepreneurship development.* Entrepreneurship development includes entrepreneurship training curriculum, entrepreneurship courses.

(e) *Micro/Loan fund.* Developing a strategy for establishing a revolving micro/loan fund and/or capitalizing a loan fund, including licensing, bonding, and insurance needed to operate a business. Revolving loan funds can not be used for acquisition, disposition, or physical development;

(f) *Developing credit unions.* Developing a strategy to establish and/or create on-site credit union(s) to provide financial and economic development initiatives to PHA residents. (RSDM grant funds cannot be used to capitalize a credit union.) The credit union can support the normal financial management needs of the community (i.e., check cashing, savings, consumer loans, micro-businesses money management, home buyer counseling, educational loans, and other revolving loans).

(g) *Individual development accounts.* Activities or programs that encourage residents to contribute to matched savings accounts known as Individual Development Accounts (IDAs). These programs include financial counseling and education activities. (RSDM funds cannot be used as matching funds for the actual savings account).

(h) *Employment training and counseling* (e.g., job training, establishing registered apprenticeship programs, preparation and counseling, job search assistance, job development and placement, and supportive services to support job training and apprenticeship activities).

(i) *Employer linkage and job placement.*

(j) *Family only—supportive services activities.* The provision of services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. Eligible supportive services may include, but are not limited to:

(i) Child care, of a type that provides sufficient hours of operation and serves

appropriate ages as needed to facilitate parental access to education and job opportunities.

(ii) Computer-based educational opportunities, skills training, and entrepreneurial activities.

(iii) Homeownership training and counseling, development of feasibility studies and preparation of homeownership plans/proposals.

(iv) Education including but not limited to: remedial education; computer skills training; career counseling; literacy training; assistance in the attainment of certificates of high school equivalency; two-year college tuition assistance; trade school assistance; youth leadership skills and related activities (activities may include peer leadership roles training for youth counselors, peer pressure reversal, life skills, and goal planning). Academic support shall not be limited to TANF recipients.

(v) Youth mentoring of a type that mobilizes a potential pool of role models to serve as mentors to public housing youth. Mentor activities may include after-school tutoring, help with problem resolution issues, illegal drugs avoidance, job counseling, or mental health counseling.

(vi) Transportation costs, as necessary to enable any participating family member to receive available services to commute to his or her training or supportive services activities or place of employment.

(vii) Personal well-being (e.g., family/parental development counseling, parenting skills training for adult and teenage parents, self-development counseling, support groups/counseling for victims of domestic violence, and/or families with a mentally ill member, etc.).

(viii) Supportive health care services (e.g., outreach and referral services to substance and alcohol abuse treatment and counseling, mental health services, wellness programs). Food costs that are directly attributable to the actual nutrition and health training are an eligible grant expenditures. These are not food costs associated with entertainment.

(ix) Contracting for case management services or employment of case managers, which must ensure confidentiality about resident's disabilities.

(x) Establishing and/or operating Neighborhood Network Centers that use computer technology and telecommunications for job training, after-school youth programs, educational, and health activities.

(xi) Administrative costs may include, but are not limited to, purchase of

furniture, office equipment and supplies, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(xii) Stipends. No more than \$200 per participant per month of the grant award may be used for stipends for active trainees and program participants to cover the reasonable costs related to participation in training and other activities.

(5) *Elderly and persons with disabilities—supportive services activities* may include, but are not limited to:

(i) A Program Coordinator (See Section III(E) for a description);

(ii) Meal service adequate to meet nutritional need;

(iii) Assistance with daily activities;

(iv) Housekeeping aid;

(v) Transportation services;

(vi) Wellness programs, preventive health education, referral to community resources;

(vii) Personal emergency response;

(viii) Congregate services—includes supportive services that are provided in a congregate setting at a conventional public housing development; and

(viii) Case management.

(h) Administrative costs. Administrative costs may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(5) *Ineligible Activities.* Activities for which costs are ineligible for funding under the RSDM funding category include:

(i) Elderly Service Coordinator salary funding;

(ii) Payment of wages and/or salaries to participants receiving supportive services and/or training programs, except that grant funds under family RSDM may be used to hire a resident(s) as a Program Coordinator or to provide training program activities;

(iii) Purchase or rental of land;

(iv) New construction, materials, costs;

(v) Purchase of vehicles; and

(vi) Cost of application preparation is not eligible.

(6) *Grant term.* The grant term for Resident Service Delivery Models grants is thirty-six months from the execution date of the grant agreement.

(F) *Service Coordinators for Elderly and Persons with Disabilities.* (1) *Eligible Applicants.* This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities which were initially awarded in FY 1995.

(2) *Joint Applications.* Two or more PHAs may join together to share a

service coordinator and so submit joint applications. Joint applicants must designate a lead applicant. All joint applicants must be existing service coordinator grantees.

(3) *Eligible developments.* To be eligible, a development must have elderly residents and/or non-elderly residents with disabilities who together total at least 25 percent of the building's residents.

(4) *Eligible Activities.* Under this funding category, funds may be used for the following activities:

(a) *Service Coordinator.* To pay for the salary, fringe benefits, and related administrative costs for employing a service coordinator. A service coordinator is a social service staff person hired or contracted by the PHA. The coordinator is responsible for assuring that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the supportive services they need to continue living independently in that development. The service coordinator, however, may not require any elderly person or person with disabilities to accept the supportive services. For the purposes of this program, a service coordinator is any person who is responsible for one or more of the following functions:

(i) Working with community service providers to coordinate the provision of services and to tailor the services to the needs and characteristics of eligible residents;

(ii) Establishing a system to monitor and evaluate the delivery, impact, effectiveness and outcomes of supportive services under this program;

(iii) Coordinating this program with other independent living or self-sufficiency, education and employment programs;

(iv) Performing other duties and functions to assist residents to remain independent, and to prevent unnecessary institutionalization; and

(v) Mobilizing other national and local public/private resources and partnerships.

(b) *Administrative costs.*

Administrative costs may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(5) *Ineligible Activities/Costs.* (a) Applicants may not use these monies to replace current funding from other sources for a Service Coordinator or for some other staff person who performs service coordinator functions; and

(b) The cost of application preparation is not eligible.

(6) *Grant term.* The grant term for Elderly or Persons with Disabilities Service Coordinator grants is 12 months.

IV. Program Requirements

The requirements of this section are applicable to all applicants, and grantees under this announcing of funding availability.

(A) *Compliance with Fair Housing and Civil Rights Laws.* Your application must meet all the applicable threshold requirements found in Section II(B) of the General Section of the SuperNOFA, as well as the following requirements.

(B) *Affirmatively Furthering Fair Housing.* You must adhere to the requirement as provided in Section II(D) of the General Section of the SuperNOFA.

(C) *Section 109.* In addition to the fair housing and other civil rights assurances described under Section II(B) of the General Section of the SuperNOFA, applicants for ROSS must provide assurance that they will comply with section 109 of the Housing and Community Development Act of 1974, as amended. Implementing regulations for section 109 are found under 24 CFR part 6 and part 570, including, but not limited to, reporting and record-keeping requirements under 24 CFR 570.506 and 570.507.

(D) *Certifications and Assurances.* You must comply with the certifications and assurances contained in Section II(G) of the General Section of the SuperNOFA.

(E) *Applicant Internet Access.* Prior to the initial draw down, all grantees must have secured online access to the Internet as a means to communicate with HUD on grant matters.

(F) *ROSS Evaluation and Assessment.* All applicants selected for award must be willing to participate in the evaluation and assessment that HUD intends to conduct for the ROSS Program. At grant award HUD will provide additional information on the evaluation and assessment for applicants who receive awards.

V. Application Selection Process

(A) *Application Selection Process for Resident Management and Business Development.* Applicants for Resident Management and Business Development grants are required to address application submission requirements, but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of Section VI of this program section of the SuperNOFA. HUD will accept for funding the first five eligible applications from each of the ten federal regions and ONAP on a

first-come, first-serve basis for this SuperNOFA. Any funds remaining after making awards to the first five eligible applications from each region and ONAP will be awarded to the next eligible application from each region, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. Where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected. If all funds are not awarded in one funding category, funds are transferable to other ROSS funding categories in this ROSS competition.

(B) *Application Selection Process for Capacity Building or Conflict Resolution.* Applicants for Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of Section VI of this program section of the SuperNOFA. HUD will accept for funding the first two eligible applications from each of the ten federal regions and ONAP on a first-come, first-serve basis for this SuperNOFA. Any funds remaining after making awards to the first two eligible applications from each region and ONAP will be awarded to the next eligible application from each region, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. If all funds are not awarded in one funding category, funds are transferable to the other ROSS funding categories in this ROSS competition.

(C) *Application Selection Process for Resident Service Delivery Models.* (1) Three types of reviews will be conducted: a screening to determine if your application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate your application based on the five rating factors provided in this section. A minimum score of 70 is required to be considered for funding. If you are not the PHA, where physical development activities are proposed, HUD will perform an environmental

review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

(2) The selection process is designed to achieve geographic diversity of grant awards throughout the country. HUD will first select the highest ranked application from each of the ten federal regions and ONAP for funding. After this "round," HUD will select the second highest ranked application in each of the ten federal regions and ONAP for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each federal region until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds. In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this ROSS Competition.

(D) *Factors for Award Used to Evaluate and Rate RSDM Applications.* The factors for rating and ranking applicants and maximum points for each factor are provided below. The maximum number of points available for this program is 104. This includes two EZ/EC bonus points and two bonus points for apprenticeship programs, as described in the General Section of the SuperNOFA. The application kit contains a certification that must be completed for the applicant to be considered for EZ/EC and apprenticeship program bonus points and a listing of federally designated EZs and ECs. A RSDM application must receive a total of 70 points out of 100 to be eligible for funding.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor HUD will consider the extent to which the proposal demonstrates:

(1) *Proposed Program Staffing.* (7 Points)

(a) *Experience.* (4 Points) The knowledge and experience of your proposed project director and staff, including the day-to-day program manager, sub-recipients and partners in planning and managing programs for which funding is being requested. Your

experience will be judged in terms of recent, relevant and successful experience to undertake eligible program activities.

(b) *Sufficiency.* (3 Points) You and your sub-recipients, and partners have sufficient personnel or will be able to quickly access qualified experts or professionals, to deliver the proposed activities in each proposed service area in a timely and effective fashion, including your readiness and ability to immediately begin the proposed work program. To demonstrate sufficiency, you must submit the proposed number of staff years to be allocated to your program by employees and experts, the titles and relevant professional background and experience of each employee and expert proposed to be assigned to your program, and the roles to be performed by each identified employee and expert.

(2) *Program Administration and Fiscal Management.* (7 Points)

(a) *Program Administration.* (4 Points) The soundness of the proposed management of your proposed RSDM program. To receive a high score, you must provide a comprehensive description of your project management structure. Your narrative must provide a description of how any co-applicants, sub-grantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.

(b) *Fiscal Management.* (3 Points) The soundness of your proposed fiscal management. To receive a high score you must provide a comprehensive description of the fiscal management structure, including, but not limited to, budgeting, fiscal controls, and accounting. The application must identify the staff responsible for fiscal management, and the processes and timetable for implementation during the proposed grant period.

(3) *Applicant/Administrator Track Record.* (6 Points) To receive a high score, you must demonstrate your (or your proposed Administrator's) program compliance and successful implementation of any resident self-sufficiency, security or independence oriented grants (including those listed below) awarded to you or overseen by your Administrator. If you or your Administrator has no prior experience in operating programs that foster resident self-sufficiency, security or independence you will receive a score of 0 on this factor. Your past experience may include, but is not limited to, administering the following grants: Family Investment Center Program; Youth Development Initiative under

Family Investment Center Program; Youth Apprenticeship Program; Apprenticeship Demonstration in the Construction Trades Program; Urban Youth Corps Program; HOPE I Program; Public Housing Service Coordinator Program; Public Housing Drug Elimination Program; Tenant Opportunities Program; Economic Development and Supportive Services; and Youth Sports Program.

Rating Factor 2: Need/Extent of the Problem (20 Points)

This factor addresses the extent to which there is a need for funding your proposed program activities to address a documented problem in the target area. You will be evaluated on the extent to which they document a critical level of need in the development or your proposed activities in the area where activities will be carried out. In responding to this factor, you will be evaluated on:

(1) *A Needs Assessment Document.* (18 Points) HUD will award up to 18 points based on the quality and comprehensiveness of the needs assessment document.

(a) To obtain maximum points for Family RSDM applications, this document must contain statistical data which provides:

(i) A thorough socioeconomic profile of the eligible residents to be served by your program, in relationship to PHA-wide and national public and assisted housing data on residents who are on TANF, SSI benefits, or other fixed income arrangements; in job training, entrepreneurship, or community service programs; and employed;

(ii) Specific information on training, contracting, and employment through the PHA.

(iii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use;

(iv) A description of the goals, objectives, and program strategies that will result in the successful transition of residents from welfare-to-work.

(b) In order to obtain maximum points for Elderly and Persons with Disabilities RSDM applications, the needs assessment document should contain statistical data that provide:

(i) The numbers of residents needing assistance for activities of daily living.

(ii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use.

(iii) A description of the goals, objectives, and program strategies that will result in increased independence for proposed program participants.

(2) *Level of Priority in Consolidated Plan.* (2 Points) Documentation of the level of priority the locality's, or in the case of small cities, the State's, Consolidated Plan has placed on addressing the needs. You may also address needs in terms of fulfilling the requirements of court actions or other legal decisions or which expand upon the Analysis of Impediments to Fair Housing Choice (AI) to further fair housing. If you address needs that are in your community's Consolidated Plan, AI, or a court decision, or identify and substantiate needs in addition to those in the AI, you will receive a greater number of points than applicants who do not relate their proposed program to the approved Consolidated Plan or AI or court action. There must be a clear relationship between your proposed activities, community needs and the purpose of the program funding for you to receive points for this factor.

Rating Factor 3: Soundness of Approach (40 Points)

This factor addresses the quality and cost-effectiveness of your proposed work plan. In rating this factor HUD will consider: the viability and comprehensiveness of your strategies to address the needs of residents; budget appropriateness/efficient use of grant; the speed at which you can realistically accomplish the goals of the proposed RSDM program; the soundness of your plan to evaluate the success of your proposed RSDM program at completion and during program implementation; and resident and other partnerships; and policy priorities.

(1) *Viability and comprehensiveness of the strategies to address the needs of residents* (21 Points) The score under this subfactor will be based on the viability and comprehensiveness of your strategies to address the needs of residents.

(a) *Services.* (18 Points for Family RSDM applicants and 21 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in the Elderly and Persons with Disabilities RSDM applications to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant) The score under this subfactor will be based on the following:

(i) For Family RSDM applications, the extent to which your plan provides services that specifically address the successful transition from welfare to

work of non-elderly families. To receive a high score, your plan must include case Management/counseling, job training/development/placement (and/or business training/development/startup), child care, and transportation services. If you are not proposing to use RSDM funding for these activities, you must show that you will provide these services with other funds or through specific commitments from partners.

(ii) In order to receive maximum points, the goals and objectives of your proposed plan must represent significant achievements related to welfare-to-work and other self-sufficiency/independence goals. Specifically for those residents affected by welfare reform, we are interested in achievements that are performance outcomes such as the number of residents employed or business started, in addition to, process descriptions, such as the number of residents receiving training.

(iii) For Elderly and/or Persons with Disabilities RSDM applications, services in your plan should include case management, health care, congregate services and transportation. To obtain maximum points, you must describe the goals, objectives, and program strategies that will result in increased independence for proposed program participants; your services must be located in a community facility; and must be available on a 12-hour basis or as needed by the eligible residents.

(b) *Resident Contracting and Employment.* (3 Points) The score in this factor will be based on the extent to which residents will achieve self-sufficiency through your contracts with resident-owned businesses and through resident employment. A high score will be awarded where there is documentation (a letter or resolution from your governing body) describing your commitment to hire or contract with at least 15% of residents and a narrative describing the number of resident jobs or contracts involved, as well as the training processes related to the comprehensive plan of your application. Elderly and Persons with Disabilities RSDM applications will not be scored on the criterion in this subcategory.

(2) *Budget Appropriateness/Efficient Use of Grant.* (5 Points) The score in this factor will be based on the following:

(a) *Detailed Budget Break-Out.* The extent to which your application includes a detailed budget break-out for each budget category in the SF-424A.

(b) *Reasonable Administrative Costs.* The extent to which your application includes administrative costs at or

below the 20% administrative cost ceiling.

(c) *Budget Efficiency.* The extent to which your application requests funds commensurate with the level of effort necessary to accomplish your goals and anticipated results.

(3) *Reasonableness of the Timetable.* (2 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant)

The score in this factor will be based on a reasonable response that you can accomplish the goals of your proposed RSDM program. To receive a high score, you must demonstrate that it will make substantial program implementation progress within the first six months after grant execution, including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are prerequisites for implementation of the program. In addition, you must demonstrate that your proposed timetable for all components of the proposed program is feasible considering the size of your award and activities and results that can be accomplished within the 36-month time limit.

(4) *Program Assessment.* (3 Points for Family RSDM and Elderly and Persons with Disabilities RSDM) The score in this factor will be based on the soundness of your plan to evaluate the success of your proposed RSDM program both at the completion of your program and during program implementation. At a minimum, you must track the goals and objectives of your proposed work plan program, which must include, if applicable, a plan for monitoring your Contract Administrator's performance. Your application should track specific measurable achievements for the use of program funds, such as number of residents employed, salary scales of jobs obtained, persons removed from welfare roles 12 months or longer, number of elderly or persons with disabilities residents receiving supportive services, and number of persons receiving certificates for successful completion of training in careers such as computer technology.

(5) *Resident and Other Partnerships* (9 Points for Family RSDM applicants and 7 Points for Elderly and Persons with Disabilities RSDM applicants)

(a) *Resident Involvement in RSDM Activities* (3 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant): The score in this factor will be based on the extent of resident involvement in developing your proposed RSDM program as well as the extent of proposed resident involvement in implementing your proposed RSDM program. To receive a high score on this factor, you must describe the involvement of residents in the planning phase for this program, and a commitment to provide continued involvement in grant implementation. For applicants to receive the maximum number of points, a work plan, must be included.

(b) *Other Partnerships*. (3 Points) The score in this factor will be based on the successful integration of partners into implementation of the proposed RSDM program. To receive a high score, you must provide a signed Memorandum of Understanding (MOU) or other equivalent signed documentation that delineates the roles and responsibilities of each of the parties in your program and the benefits they will receive. In assessing this subfactor, HUD will examine a number of aspects of the proposed partnership, including:

(i) The division of responsibilities/management structure of your proposed partnership relative to the expertise and resources of your partners;

(ii) The extent to which the partnership as a whole addresses the unmet resident needs; and

(iii) The extent to which the addition of the partners provides the ability to meet needs that the applicant could not meet without the partner(s).

(c) *Overall Relationship/Coordination*. (3 Points for Family RSDM only) For Family RSDM applicants, the score in this factor will be based on the extent of coordination between your proposed RSDM program and any existing or proposed programs within your jurisdiction. To receive a high score, you must contain an MOU that describes collaboration between the applicant and residents on all of the specific components related to the work plan of the proposed RSDM program. To receive points, at a minimum, you must have a narrative description of this collaboration. Elderly and Persons with Disabilities RSDM applications will not be scored on this criterion.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to secure community resources (note: financing is a community resource) that can be combined with HUD's program resources to achieve program purposes. You must have at least a 25% cash or in-kind match to receive points under this rating factor. Leveraging in excess of the 25% of the grant amount will receive a higher point value. In evaluating this factor HUD will consider:

The extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed program activities. The budget, the work plan, and commitments for additional resources and services, other than the grant, must show that these resources are firmly committed, will support the proposed grant activities and will, in combined amount (including in-kind contributions of personnel, space and/or equipment, and monetary contributions) equal at least 25% of the RSDM grant amount proposed in this application. "Firmly committed" means there must be a written agreement with the provider of resources, signed by an official legally able to make commitments on behalf of the organization. The signed, written agreement may be contingent upon you receiving a grant award. Other resources and services may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (not including RSDM funds); funds from any State or local government sources; and funds from private contributions. You may also partner with other program funding recipients to coordinate the use of resources in your target area.

You must provide evidence of leveraging/partnerships by including in the application letters of firm commitments, Memoranda of Understanding, or agreements to participate from those entities identified as partners in the application. To be firmly committed there must be a written agreement with the provider of resources signed by an official legally able to make commitments on behalf of the organization. This agreement may be contingent upon you receiving a grant award. Each letter of commitment, Memorandum of Understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD funding resources and other resources available to the community.

In evaluating this factor HUD will consider the extent to which your application addresses:

(1) *Coordination with the Consolidated Plan* (2 Points for Family RSDM applicants and 6 points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded for Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant.) Demonstrates the applicant has reviewed the community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and has proposed activities that address the priorities, needs, goals or objectives in those documents; or substantially furthers fair housing choice in the community.

(2) *For Family RSDM Applications, Coordination with the State and/or Local Welfare Plan* (4 Points): Provides evidence that your proposed RSDM program has been coordinated with and supports the PHA's, efforts to increase resident self-sufficiency and is coordinated and consistent with the State, or local Welfare Plan.

(3) *Coordination with Other Activities* (4 Points) Demonstrates that in carrying out your program activities, you will develop linkages with: other HUD-funded program activities proposed or on-going in the community; or other State, Federal or locally funded activities proposed or on-going in the community which, taken as a whole, support and sustain a comprehensive system to address the needs.

(D) Application Selection Process for Service Coordinators

Applicants for Service Coordinators are required to address application submission requirements but are not required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of Section IV of this program section of the SuperNOFA.

VI. Application Submission Requirements

(A) *All Applications*. All applications for assistance under the ROSS

competition for all funding categories must include the forms, certifications and assurances listed in Section IV of the General Section of the SuperNOFA (collectively referred to as the "standard forms"). These forms are:

- SF-424, Application Federal Assistance;
- HUD-424M, Federal Assistance Funding Matrix;
- SF-424A, Federal Assistance Budget Information—Non Construction;
- SF-424B, Assurances for Non-Construction Programs;
- HUD Form 50070, Drug-Free Workplace Certification;
- HUD Form 50071, Certification of Payments to Influence Federal Transactions, and if applicable SF-LLL, Disclosure of Lobbying Activities;
- HUD Form 2880, Applicant/Recipient Disclosure/Update Report;
- HUD Form 2992, Certification of Debarment and Suspension;
- HUD Form 2993, Acknowledgment of Application Receipt.

The standard forms can be found in Appendix B to the General Section of the SuperNOFA. The remaining application items that are forms (i.e., excluding such items as narratives), referred to as the "non-standard forms" can be found as Appendix A to this program section of the SuperNOFA.

All applicants must include the following information regardless of the category under which they are applying for funds.

- (1) ROSS Application Cover Sheet;
- (2) ROSS Fact Sheet;
- (3) ROSS Program Summary;
- (4) Certification of Consistency and Compliance with threshold requirements of General Section of the SuperNOFA;

(5) You must provide assurance that you will comply under section 109 of the Housing and Community Development Act of 1974 and that you have resolved to the satisfaction of the Department before the application deadline any letter of noncompliance findings under section 109.

(6) *Match Requirement.* (a) You must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS funds); funds from any State or local government sources; and funds from private contributions. Any services, such as child care or mentoring, conducted by elderly or persons with disabilities residents who are not TANF participants, will not be counted toward

your match requirement. You may also satisfy the match requirement by establishing the in-kind value of computer and office equipment, software and space used for training in computer technology, education/employment and skills development for self sufficiency training programs such as Twenty/20 Education Communities (TEC Centers) or Neighborhood Networks Centers.

(b) You must demonstrate that the cash or in-kind resources and services, which you will use as match amounts (including resources from a Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization and specifies the cash and/or in-kind assistance to be provided. If offering in-kind assistance, the letter should provide an estimated dollar value for the in-kind services. The written agreement may be contingent upon your receiving a grant award. The following are guidelines for valuing certain types of in-kind contributions:

(c) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the activity is located; and

(d) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one-year old taken from the community where the item or activity is located, as appropriate. You may also satisfy the match requirement by establishing the in-kind value of computer and office equipment, software and space used for training in computer technology, education/employment and skills development for sufficiency training programs such as Twenty/20 Education Communities (TEC Centers) or Neighborhood Networks Centers.

(B) *RMBD Applications.* Applicants for Resident Management and Business Development grants are required to address application submission requirements, but are not required to

address selection factors. A threshold review, and not application submission requirements, will be used for determining eligibility for first-come first serve funding.

All applications for funding under this funding category must contain the following documents and information (Please note that items 1–9 are threshold requirements used to determine awards for this category; items 10–13 will be used for grant administration):

(1) Your application must contain a written certification that at least 51 percent of the public housing residents to be included in the proposed program are currently eligible to receive, are currently receiving, or have received within the preceding four years, assistance or services funded under the TANF, SSI, or food stamp programs.

(2) Your application must contain a signed Memorandum of Understanding (MOU) between the RA and the PHA or the RO/RMC and the Tribe/TDHE which describes the specific roles, responsibilities and activities to be undertaken by all parties to the MOU. Your MOU, at a minimum must identify the principal parties (i.e. the name of the PHA or tribe/TDHE and RA or RO, the terms of agreement), expectations or terms for each party, and indicate that the agreement pertains to the support of your grant application. This document is the basis for the foundation of the relationship between the RA or RO and PHA or tribe/TDHE. The MOU must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized, dated and signed by duly authorized officials of both the RA or RO and PHA or tribe/TDHE upon submission of the application.

(3) *Accessible Community Facility.* You must provide written evidence (e.g. through an executed use agreement if the facility is to be provided by an entity other than the PHA or tribe/TDHE) that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation of the property represented by the PHA or tribe/TDHE. The written agreement must certify that community facilities meet the structural accessibility requirement of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See Section VI(A)(5) of the program section of this SuperNOFA.

(5) For applicants other than Tribes/TDHEs, you must provide either a signed certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84, or your application must contain a signed Contract Administrator Partnership Agreement that you will use the services of a Contract Administrator in administering your grant. Applicants that are troubled PHAs or tribes/TDHEs are required to provide written agreement that a Contract Administrator has been retained for the term of the grant. In cases where the Contract Administrator is the PHA or tribe/TDHE, the Contract Administration responsibilities can be incorporated into the MOU discussed above.

(6) Except for Tribes/TDHEs, if you are a RA/RC/RMC/CWRO you must include evidence that your organization is registered with the State as a nonprofit corporation at the time of application submission or has section 501(c) status with the United States Internal Revenue Service at the time of application. Evidence of State registration shall be a copy of the certificate of incorporation or certificate of good standing from the State Government (i.e. Secretary of State or Secretary of Corporations). Evidence of 501 (c) status shall be a copy of the IRS 501 (c) designation.

(7) Certification of Resident Council Board Elections. If you are a Resident Organization, you must submit certifications of the RA ROs board election as required by HUD, signed by the local PHA or tribe/TDHE and/or an independent third party monitor and notarized;

(8) List of RAs or ROs participating with the City-Wide Resident Organization (CWRO). You must list in your application, the name(s) of RAs or ROs that will receive services and you must submit letters of support from each RA or RO identified in your application;

(9) Physical Improvements. You must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities. You must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this ROSS competition.

The following are application submission requirements and will not be used for determining eligibility for first-come first serve funding.

(10) Explanations for proposed grant activities must be provided by narrative statements or descriptions;

(11) Resident Management and Business Development grant applications must include a narrative description (two page limit) describing the activities that you will carry out with RMBD grant funds. Your description must include specific goals, objectives and program strategies that will result in successful transition of residents from welfare to work or other proposed grant activities;

(12) Your RMBD application must provide information about the RA or RO, including its history, staff qualifications, and its previous experience (two page limit). For proposed grant staffing, you must include a resume or summary of qualifications for all proposed grant staff:

Chart A—RMBD Program Staffing

Chart B—RMBD Applicant/

Administrator Track Record

Chart C—Summary RMBD Budget line Items

(13) You must provide a summary of a proposed work plan to carry out proposed grant activities. This work plan must include tasks, budgeted amounts, and dates for all activities during the grant period.

Chart D—Budget Workplan Summary

(C) *Applications for Capacity Building or Conflict Resolution.* All applications for funding under this funding category must contain the following documents and information. Only threshold requirements, an not application submission requirements, will be used for determining eligibility for funding. (Please note that items 1–8 are threshold requirements for a threshold review that will be used to determine awards for this category; items 9–13 will not be used to select awardees):

(1) Written Agreement with Mediator. Only conflict Resolution applicants must develop a work plan with a professional mediator or “grass roots” mediation organization (mediation/partner) that outlines the roles and responsibilities of each party. The work plan must specify that the mediation/partner will train grantee staff and/or volunteers such that the grantee will be capable of providing mediation assistance independently by the end of the grant term.

(2) Mediation Experience/Referral Agreement. Only conflict Resolution applicants must provide evidence that their mediator/partner has at least one year of experience in providing mediation services and at least one year of mediation training. Include either one

referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation of public housing residents, or a narrative description of direct experience with public or assisted housing residents.

(3) Except for Tribes/TDHEs, applicant Nonprofit Status. You must provide evidence that your organization has registered with the State as a nonprofit corporation or has 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See Section VI(A)(5) of this program section of the SuperNOFA.

(5) List of RAs or ROs Receiving Support. In CB and CR applications, you must list in your application the name of the RAs or ROs that will receive training, technical assistance and/or coordinated supportive services and you must submit letters of support from each entity identified in your application.

(6) For applicants other than Tribes/TDHEs, you must provide either a signed certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84 or part 85, or your application must contain a signed Contract Administrator Partnership Agreement that you will use the services of a Contract Administrator in administering your grant. Applicants that are troubled PHAs are required to provide written agreement that a Contract Administrator has been retained for the term of the grant. In cases where the Contract Administrator is the PHA the Contract Administration responsibilities can be incorporated into the MOU discussed below.

(7) Your application must contain a signed Memorandum of Understanding (MOU) between the RA or RO and PHA or tribe/TDHE which describes the specific roles, responsibilities and activities to be undertaken by all parties to the MOU. Your MOU, at a minimum must identify the principal parties (i.e. the name of the PHA or tribe/TDHE and IRO/nonprofit, the terms of agreement), expectations or terms for each party, and indicate that the agreement pertains to the support of your grant application. This document is the basis for the foundation of the relationship between the IRO/nonprofit and PHA or tribe/TDHE. The MOU must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized,

dated and signed by duly authorized officials of both the IRO/nonprofit and PHA or tribe/TDHE upon submission of the application.

(8) You must provide written evidence (e.g., through an executed space use agreement if the facility is to be provided by an entity other than the PHA or tribe/TDHE) that proposed CB/CR activities or training will take place. The community facilities must be within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation of the property represented by the PHA or tribe/TDHE. The written agreement must certify that community facilities meet the structural accessibility requirement of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

The following are application submission requirements. Only threshold requirements, and not application submission requirements, will be used to determine eligibility for first-come first serve funding.

(9) Explanations for proposed grant activities must be provided by narrative statements or descriptions as well as the forms indicated below:

(10) Needs Assessment. For the CB and CR grant applications you must provide a narrative description of proposed activities that addresses the following information:

(i) A description of the geographic boundaries of the RAs, ROs or RMCs included in the application;

(ii) A description of the public housing community;

(iii) A detailed description of the issues or problems involved with each RA or RO to be served by the grant; and

(iv) The resources that are currently being devoted to the problem or issue under consideration.

(11) Proposed Program Activities. CB/CR grant applications must include a narrative description describing the activities that you will carry out with CB/CR grant funds. Your description must include specific goals, objectives and program strategies that will result in successful proposed grant activities;

(12) Experience and Staffing. Your CB/CR grant application must provide information about the your organization, including its history, staff qualifications, and its previous experience (two page limit). For proposed grant staffing, you must include a resume or summary of qualifications for all proposed grant staff:

Chart A—CB/CR Program Staffing
Chart B—CB/CR Applicant/
Administrator Track Record

Chart C—Summary CB/CR Budget Line Items

(13) Budget and Cost Information.

You must provide a summary of your proposed work plan to carry out your proposed grant activities. The work plan must include tasks/activities, budgeted amounts, and start and end dates for all activities during the grant period.

Chart D—Budget Workplan Summary

(D) Application Submission

Requirements for Resident Service Delivery Models. All applications for funding under this funding category must contain the following documents and information (Please note that items 1–10 are threshold requirements for a threshold review will be used to determine scoring of rating and ranking factors for this category):

(1) Your application must contain a written certification that at least 51 percent of the public housing residents to be included in the proposed program are currently eligible to receive, are currently receiving, or have received within the preceding four years, assistance or services funded under the TANF, SSI, or food stamp programs.

(2) Elderly and/or Persons with Disabilities Housing Development Certification. A certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application.

(3) Accessible Community Facility. You must provide evidence (e.g., through an executed use agreement if the facility is to be provided by an entity other than the PHA or tribe/TDHE) that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation of the property represented by the PHA or tribe/TDHE. The written agreement must certify that the community facilities meet the structural accessibility requirements of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(4) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See Section VI(A)(5) of this program section of the SuperNOFA.

(5) Physical Improvements. You must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities. You must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive

services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this ROSS competition.

(6) Except for PHA's or tribes/TDHEs, you must provide either a signed certification from HUD or an Independent Public Accountant that your financial management system and procurement procedures fully comply with 24 CFR part 84 or 85, or your application must contain a signed Contract Administrator Partnership Agreement that you will use the services of a Contract Administrator in administering your grant. Applicants that are troubled PHAs are required to provide evidence that a Contract Administrator has been retained for the term of the grant. In cases where the Contract Administrator is the PHA the Contract Administration responsibilities can be incorporated into the MOU discussed below.

(7) Applicant Non-Profit Status. Except for PHAs or tribes/TDHEs, you must provide evidence that the applicant is registered with the State as a nonprofit corporation or has 501(c) status with the United States Internal Revenue Service at the time of application submission. Evidence of State registration shall be a copy of the certificate of incorporation or certificate of good standing from the State Government (i.e. Secretary of State or Secretary of Corporations). Evidence of 501(c) status shall be a copy of the IRS 501(c) designation.

(8) Certification of Resident Council Board Elections;

(9) List of RAs or ROs Receiving Support. In RSDM applications you must list in your application the name of the RAs or ROs that will receive training, technical assistance and/or coordinated supportive services and must submit letters of support from each entity identified in your application.

(10) Responses to Factors of Award may be narrative statements or descriptions and the forms indicated below:

Factor 1—Capacity of the Applicant and Relevant Organizational Experience;

Chart A—Program Staffing

Chart B—Applicant/Administrator Track Record

Factor 2—Need/Extent of the Problem;

Chart C—Summary Budget line Items

Chart D—Budget Workplan Summary

Factor 3—Soundness of Approach;

Factor 4—Leveraging Resources; and

Factor 5—Comprehensiveness and Coordination.

Certification of Consistency with the Consolidated Plan

Bonus Points

Certification of Consistency with the
EZ/EC Strategic Plan
Certification of an Apprenticeship
Program

(E) *Application Submission Requirements for Service Coordinators for the Elderly and Persons with Disabilities.* All applications for funding under this funding category must contain the following documents and information (Please note that items 1–4 are threshold requirements for a threshold review to be used to determine renewal funding for this category):

(1) Elderly Housing Development Certification. A certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application.;

(2) Accessible Community Facility. The application must provide evidence (e.g., through an executed use agreement or MOU if the facility is to be provided by an entity other than the PHA. The majority of the proposed activities will be administered at community facilities within easy transportation access, i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transportation, to the property represented by the PHA. Your executed

use agreement or MOU must specifically state that the community facilities meet the structural accessibility requirements of section 504 of the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990.

(3) Your application must contain letter(s) of support indicating supplemental grant funds of not less than 25% of the grant amount. See Section VI(A)(5) of this program section of the SuperNOFA.

(4) SC Request Letter Format; The following are application submission requirements. Only threshold requirements, and not application submission requirements, will be used for determining eligibility for renewal funding.

(5) Evidence of comparable salaries in local area;

(6) Lead Agency letter format (if appropriate);

VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

It is anticipated that most activities under this ROSS funding will be categorically excluded under 24 CFR 58.34(a)(3) or (a)(9), 58.35(b)(2) or (b)

(4), 50.19(b)(3), (b)(9), (b)(12), or (b)(14). An applicant proposing any acquisition, including long-term leasing, disposition, or physical development activities is prohibited from rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) If the grantee is not a PHA or tribes/TDHEs, HUD has completed an environmental review to the extent required by 24 CFR part 50, prior to grant award.

(2) If the grantee is a PHA or tribe/TDHE, HUD has approved the grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review under 24 CFR part 58, where required, or if HUD has determined in accordance with § 58.11 to perform the environmental review itself under part 50, HUD has completed the environmental review.

IX. Authority

Section 34 of the U.S. Housing Act of 1937 and 24 CFR 964.

Appendix A

The non-standard forms, which follow, are required for the ROSS application.

BILLING CODE 4210-32-P

**RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY
PROGRAM****APPLICATION FOR FY 2001 FUNDING
COVER SHEET****Funding Category (Check only ONE):**

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models –Elderly/Disabled
- ☐ Service Coordinators

**Submitted
By:**

*(Applicant Name)***Contact
Person:****Telephone: ()**

Delivered To:

*(HUD Field Office)***Date:**

PLEASE USE THIS PAGE AS COVER PAGE

ROSS FY 2001 FUNDING***FACT SHEET*****Applicant Information**

Applicant: _____

Applicant Type: ___PHA ___RA ___IRO ___NONPROFIT ___TRIBE/TDHE

HUD Region: _____ State: _____ HUD Field Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- _____ Resident Management and Business Development
- _____ Capacity Building
- _____ Conflict Resolution
- _____ Resident Service Delivery Models - Family
- _____ Resident Service Delivery Models - Elderly/Disabled
- _____ Service Coordinator Renewal

Unit Count_____ Total number of conventional public housing units under management**
(excluding any Section 8)

_____ Total number of family-occupied conventional public housing units.

_____ Total number of elderly/disabled-occupied conventional public housing units.

****Tribal or TDHE applicants should use the unit count described in the NOFA Section II (F).**

OMB Approval No. 2577-0221

ROSS FY 2001 FUNDING***FACT SHEET (continued)*****SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION (Does not apply to SC applicants)**

Name of Board Member	Title	Appointment	Term Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Date of Last Board Election: _____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

For any previous ROSS grants you have received, you must note the Fiscal Year, ROSS Category (RSDM, RMBD, etc.), and Award Amount.

ROSS FY 2001 FUNDING***FACT SHEET (continued)***

Name(s) of public housing development(s) targeted for ROSS Activities (Use additional pages if necessary.)

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or Other Authorized Representative

For: _____
Applicant Name

OMB Approval No. 2577-0221

ROSS FY 2001 FUNDING

PROGRAM SUMMARY

Applicant: _____

Date: _____

Applicant type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

ROSS FY 2001 FUNDING**PROGRAM SUMMARY (continued)**

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

TOTAL

_____	_____	_____
-------	-------	-------

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

APPLICATION CHECKLIST

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: _____

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY

COVER MATERIALS (See Part II of this application kit for forms in this tab.)

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Table of Contents | _____ | _____ |
| <input type="checkbox"/> Application Checklist | _____ | _____ |
| <input type="checkbox"/> Application for Federal Assistance
(Form SF-424) | _____ | _____ |
| <input type="checkbox"/> Federal Assistance Funding Matrix
(Form HUD-424M) | _____ | _____ |
| <input type="checkbox"/> Standard Form for Budget Information—
Non-Construction Programs (Form SF-424A) | _____ | _____ |
| <input type="checkbox"/> Assurances—Non-Construction Programs
(Form SF-424B) | _____ | _____ |
| <input type="checkbox"/> ROSS Fact Sheet | _____ | _____ |
| <input type="checkbox"/> ROSS Program Summary | _____ | _____ |

TAB 1: Threshold Requirements

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Threshold Checklist | _____ | _____ |
| <input type="checkbox"/> RMBD Certification on Residents Affected by
Welfare Reform | _____ | _____ |

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

APPLICATION CHECK LIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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- | | | |
|---|-------|-------|
| <input type="checkbox"/> Memorandum of Understanding (MOU)
for Partnership between Applicant and PHA/tribe/TDHE | _____ | _____ |
| <input type="checkbox"/> Accessible Community Facility - Executed
Use Agreement | _____ | _____ |
| <input type="checkbox"/> Match Agreements – Not less than
25% of grant requested | _____ | _____ |
| <input type="checkbox"/> Certification of Compliance with 24 CFR Part 84 _____
or Contract Administrator Signed Statement (not tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> Proof of Applicant Nonprofit Status – Copy of _____
Certification of Incorporation or Good Standing
from the State or Copy of IRS 501 (c) designation (not tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> Certification of Resident Council Board Election _____ | _____ | _____ |
| <input checked="" type="checkbox"/> List of RAs To Receive Support and Letters of _____
Support from RAs | _____ | _____ |
| <input type="checkbox"/> Physical Improvements (Only for applicants
proposing physical improvements)
--A description of the renovation or conversion to be conducted, along with a budget
and timetable for those activities.
--A firm commitment of assistance from one or more sources ensuring that
supportive services will be provided for not less than 2 years following the completion
of renovation, conversion, or repair activities funded under this competition. | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency and Compliance _____
with General SuperNOFA Threshold Requirements | _____ | _____ |

OMB Approval No. 2577-0221

ROSS FY 2001 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

APPLICATION CHECK LIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

TAB 2: Program Description and Budget

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Program Activities Description—Narrative | _____ | _____ |
| <input type="checkbox"/> Your Resident Organization and it's History—Narrative | _____ | _____ |
| <input type="checkbox"/> Chart A: RMBD Program Staffing | _____ | _____ |
| <input type="checkbox"/> Resumes or summary of proposed staff's qualifications | _____ | _____ |
| <input type="checkbox"/> Chart B: RMBD Applicant/Administrator Track Record | _____ | _____ |
| <input type="checkbox"/> Chart C: RMBD Summary Budget Line Items | _____ | _____ |
| <input type="checkbox"/> Summary of Proposed Work Plan | _____ | _____ |
| <input type="checkbox"/> Chart D: RMBD Budget Work Plan Summary, Parts I and II | _____ | _____ |

TAB 3: Other Certifications and Assurances (See Part VII of this Application Kit for all forms in this tab.)

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Certification for a Drug-Free Workplace (Form HUD-50070) | _____ | _____ |
| <input type="checkbox"/> Certification of Payments to Influence Federal Transactions (Form HUD-50071), and if applicable, Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A) | _____ | _____ |
| <input type="checkbox"/> Applicant/Recipient Disclosure/Update Report (Form HUD-2880) | _____ | _____ |
| <input type="checkbox"/> Certification Regarding Debarment and Suspension (Form HUD-2992) | _____ | _____ |
| <input type="checkbox"/> Acknowledgment of Application Receipt (Form HUD-2993) | _____ | _____ |

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

THRESHOLD CHECKLIST

Applicant: _____

Date: _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section VI (A) & (B) (1-9) and SuperNOFA, General Section II.) *Note: Items marked with an * do not apply to tribes/TDHEs.*

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
1. Certification on Residents Affected by Welfare Reform	_____	_____
2. Memorandum of Understanding (MOU) for Partnership between Applicant and PHA/tribe/TDHE	_____	_____
3. Accessible Community Facility - Executed Use Agreement or MOU	_____	_____
4. Match Agreements	_____	_____
5. *Certification of Compliance with 24 CFR Part 84 or Contract Administrator Signed Statement	_____	_____
6. *Proof of Applicant Nonprofit Status (State or IRS)	_____	_____
7. Certification of Resident Council Board Election	_____	_____
8. List of RAs to Receive Support and Letters of Support From RAs (CWRO applicants only)	_____	_____
9. Physical Improvements--Description, Budget, Timetable, and Firm Commitments for Service Provision (Only for applicants proposing physical improvements)	_____	_____
10. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____

OMB Approval No. 2577-0221

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

THRESHOLD REQUIREMENTS

1. Focus on Residents Affected by Welfare Reform. Your RMBD application must contain the following written certification that at least 51% of residents to be included in your proposed program are affected by welfare reform.

**RMBD CERTIFICATION ON RESIDENTS AFFECTED
BY WELFARE REFORM**

I certify that a total of _____ people reside in the housing developments listed below, which are targeted for activities during the proposed RMBD grant.

This proposed RMBD grant will serve a total of _____ residents. Included in the recipients to be served are residents affected by welfare reform who are:

(1) Currently eligible to receive, are currently receiving, or shall have received within the preceding 4 years assistance or services funded under Temporary Assistance for Needy Families (TANF), SSI, or Food Stamps.

(2) Elderly or disabled, otherwise not affected by welfare reform, who will provide services such as child care or mentoring to families affected by welfare reform.

I certify that _____% of the residents to served are affected by welfare reform, as defined above. **At least 51% of residents must be affected by welfare reform for your application to meet the threshold requirement of this NOFA.**

Signed this _____ day of _____, 2001.

By: _____
President of Resident Organization or other Authorized Representative

For: _____
Applicant Name

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

6. Proof of Applicant Nonprofit Status. You must submit evidence that your organization is registered with the State as a nonprofit corporation at the time of application submission or 501 (c) status with the United States Internal Revenue Service. Evidence of State incorporation/registration for all applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of 501(c) status shall be a copy of the IRS 501(c) designation.
7. Certification of Resident Council Board Election. You must submit certification of the Resident Organization board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION

I CERTIFY that _____
(name of organization)

located in _____ has duly elected
(city & state)

all of the Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Last Resident Council Board Election: _____

(Name and Title of Certifying Housing Agency Official)

(Signature)

(Date)

(Name and Title of Independent Third-Party Monitor)

(Signature)

(Date)

NOTARY (Signature & Date)

FY 2001 Resident Management and Business Development

Applicant:

List of Resident Associations Participating with the City-Wide Resident Organization

(Only City-Wide Resident Organization Applicants Need to Complete and Submit this Chart)

[illegible]

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**Certification of Consistency and Compliance with General
SuperNOFA Threshold Requirements**

I CERTIFY that the proposed RMBD activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing. *Section 109 of the Housing and Community Development Act of 1974.*
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Act of 1975*, and section 109 of the *Housing and Community Development Act of 1974*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this _____ day of _____, 2001.

By: _____
President of Resident Organization or Other Authorized Representative

For: _____
Applicant

OMB Approval No. 2577-0221

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Chart A: RMBD Program Staffing

Applicant Name:

I. Applicant (RA or CWRO)

Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACT ADMINISTRATOR

Contract Administrator to be Solicited	Role in Grant Program	Estimated Cost to Grant Program
III. CONSULTANT(S)/TRAINERS/SVC. PROVIDERS/OTHER EXPERTS		
Consultants/Trainers to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

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Chart B: RMBD Applicant/Administrator Track Record
Applicant:

Program	Project No.	% of Term Complete	% of Funds Drawn Down	Major Goal #1	% Complete	Major Goal #2	% Complete

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**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT****CHART C
RMBD BUDGET LINE ITEM SUMMARY**

Applicant Name: _____ Date: _____

Please check the following as appropriate for your proposed program.

Resident Management and Business Development

- | | |
|------------|--|
| _____ 1010 | Physical Improvements |
| _____ 1020 | Resident Business Development |
| _____ 1021 | Develop Business Plan |
| _____ 1022 | Conduct Market Analysis |
| _____ 1023 | Licensing, Insurance Bonding |
| _____ 1024 | Training Related to Resident Owned Business |
| _____ 1025 | Establishment of Resident Managed Business Development |
| _____ 1026 | Technical Assistance |
| _____ 1030 | Resident Organization Development Activities |
| _____ 1031 | Organize Community |
| _____ 1032 | Operating Procedures |
| _____ 1033 | Develop MOU |
| _____ 1034 | Develop Plan for Technical Assistance |
| _____ 1035 | Consultant Contracts |
| _____ 1036 | Self Sufficiency Programs |
| _____ 1040 | Resident Management |
| _____ 1041 | Conduct Feasibility Study |
| _____ 1042 | Secure Training/Skills/Expertise |
| _____ 1043 | Develop MOU |
| _____ 1044 | Secure T/A to Draft Contract |
| _____ 1045 | Negotiate Contract with PHA |
| _____ 1046 | Conduct Resident Training/Preparation |
| _____ 1050 | Self Sufficiency Program |
| _____ 1051 | Employment and Job Readiness |
| _____ 1052 | Job Training |
| _____ 1053 | Management Related Employment Training |
| _____ 1054 | Vocational Training |
| _____ 1055 | Technical Assistance |
| _____ 1060 | Supportive Services |
| _____ 9100 | Travel Costs |
| _____ 9200 | Other Resident Costs (Stipends, Reimbursements) |
| _____ 9300 | Contract Administrator |
| _____ 9400 | Administrative and Other Costs |

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CHART D: RSDM Budget Work Plan Summary – Part I**Applicant Name:**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2010 Physical Improvements TOTAL: \$				
2020 Entrepreneur Bus. Dev. TOTAL: \$				
2021 Establish a Revolving Loan Fund				
2022 Develop a Credit Union				
2030 Business Development TOTAL: \$				
2031 Develop Business Plan				
2032 Conduct Market Analysis				
2033 Secure Licensing, Insurance, Bonding				

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CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: Housing Authority, Contractor, Subgrantee, or other partners)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2034 Training Related to Resident Owned Business				
2035 Establishment of Resident Managed Business Development				
2040 Resident Organization Development Activities TOTAL: \$				
2041 Organize Community				
2042 Operating Procedures				
2043 Develop MOU				
2044 Develop Plan for Technical Assistance				

HUD-2001-ROSS (01/01)

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CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2045 Consultant Contracts				
2046 Self Sufficiency Programs				
2050 Resident Management TOTAL: \$				
2051 Conduct Feasibility Study				
2052 Secure Training/Skills/ Expertise				
2053 Develop MOU				
2054 Consultant				

HUD-2001-ROSS (01/01)

CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2055 Secure T/A to Draft Contract				
2056 Negotiate Contract with PHA				
2057 Conduct Resident Training Preparation				
2060 Self Sufficiency Program TOTAL: \$				
2061 Program Coordinator				
2062 Physical Improvements				
2063 Employment and Job Readiness				

HUD-2001-ROSS (01/01)

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CHART D: RSDM Budget Work Plan Summary -- Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2064 Job Training				
2065 Management Related Employment Training				
2066 Vocational Training				
2067 Technical Assistance				
2070 Family Supportive Svcs TOTAL: \$				
2005 Program Coordinator TOTAL: \$				
2870 Elderly Supportive Svcs TOTAL: \$				
9100 Travel Costs TOTAL: \$				
9200 Other Resident Costs (Stipends, Reimbursements) TOTAL: \$				

HUD-2001-ROSS (01/01)

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CHART D: RSDM Budget Work Plan Summary -- Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
9300 Contract Administrator				
TOTAL: \$				
9400 Admin. & Other Costs				
TOTAL: \$				

Chart D: RSDM Budget Work Plan Summary - Part II

Please insert below the totals for each Summary Budget Line Item to be included in your grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	RSDM GRANT TOTAL
2005 Program Coordinator	\$
2010 Physical Improvements	\$
2020 Entrepreneur Business Development	\$
2030 Business Development	\$
2040 Resident Organization Development Activities	\$
2050 Resident Management	\$
2060 Self Sufficiency Programs	\$
2070 Family Supportive Services	\$
2870 Elderly Supportive Services	\$
9100 Travel Costs	\$
9200 Other Resident Costs (Stipends, Reimbursements, etc.)	\$
1060 Supportive Services	\$
9100 Travel Costs	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
TOTAL of all RSDM Funds Requested	\$

HUD-2001-ROSS (01/01)

**RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY
PROGRAM**

**APPLICATION FOR FY 2001 FUNDING
COVER SHEET**

Funding Category (Check only ONE):

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models –Elderly/Disabled
- ☐ Service Coordinators

Submitted

By:

(Applicant Name)

Contact

Person:

Telephone: () _____

Delivered To: _____
(HUD Field Office)

Date: _____

PLEASE USE THIS PAGE AS COVER PAGE

OMB Approval No. 2577-0221

ROSS FY 2001 FUNDING**FACT SHEET****Applicant Information**

Applicant: _____

Applicant Type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

HUD Region: _____ State: _____ HUD Field Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models - Family
- ☐ Resident Service Delivery Models - Elderly/Disabled
- ☐ Service Coordinator Renewal

Unit Count☐ Total number of conventional public housing units under management**
(excluding any Section 8)☐ Total number of family-occupied conventional public housing units.☐ Total number of elderly/disabled-occupied conventional public housing units.

****Tribal or TDHE applicants should use the unit count described in the NOFA Section II (F).**

ROSS FY 2001 FUNDING***FACT SHEET (continued)*****SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION (Does not apply to SC applicants)**

Name of Board Member	Title	Appointment	Term Date

Date of Last Board Election: _____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

For any previous ROSS grants you have received, you must note the Fiscal Year, ROSS Category (RSDM, RMBD, etc.), and Award Amount.

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ROSS FY 2001 FUNDING

FACT SHEET (continued)

Name(s) of public housing development(s) targeted for ROSS Activities (Use additional pages if necessary.)

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or Other Authorized Representative

For: _____
Applicant Name

ROSS FY 2001 FUNDING**PROGRAM SUMMARY**

Applicant: _____ Date: _____

Applicant type: ___PHA ___RA ___IRO ___NONPROFIT ___TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

ROSS FY 2001 FUNDING**PROGRAM SUMMARY (continued)**

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
Partner's Address		

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
Partner's Address		

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
Partner's Address		

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
Partner's Address		

TOTAL	_____	_____
-------	-------	-------

ROSS FY 2001 FUNDING**CAPACITY BUILDING AND/OR CONFLICT RESOLUTION****APPLICATION CHECKLIST**

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: _____

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

Cover Materials

(See Part II of this application kit for forms in this tab.)

<input type="checkbox"/> Table of Contents	_____	_____
<input type="checkbox"/> Application Checklist	_____	_____
<input type="checkbox"/> Application Cover Sheet	_____	_____
<input type="checkbox"/> Application for Federal Assistance (Standard Form SF-424)	_____	_____
<input type="checkbox"/> Federal Assistance Funding Matrix (Form HUD-424M)	_____	_____
<input type="checkbox"/> Budget Information —Non-Construction Programs (Standard Form SF-424A)	_____	_____
<input type="checkbox"/> Assurances—Non-Construction Programs (Standard Form SF-424B)	_____	_____
<input type="checkbox"/> ROSS Fact Sheet	_____	_____
<input type="checkbox"/> ROSS Program Summary	_____	_____

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CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**APPLICATION CHECKLIST (continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
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TAB 1: Threshold Requirements

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Threshold Checklist | _____ | _____ |
| <input type="checkbox"/> Written Agreement With Mediator
(Conflict Resolution <u>only</u>) | _____ | _____ |
| <input type="checkbox"/> Mediation Experience Certification AND one
referral agreement with a judicial, law
enforcement, or social service agency
OR a narrative on direct experience with
public or assisted housing residents.
(Conflict Resolution <u>only</u>) | _____ | _____ |
| <input type="checkbox"/> Proof of Applicant Nonprofit Status – Copy of
Certification of Incorporation or Good Standing
from the State or Copy of IRS 501(c) designation (not for tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> Match Agreements – Not less than 25% of
grant requested | _____ | _____ |
| <input type="checkbox"/> List of RAs to Receive Support and Letters
of Support from RAs | _____ | _____ |
| <input type="checkbox"/> Certificate of Compliance with either 24 CFR
Part 84 or Contract Administrator Signed Statement (not for tribes/TDHEs) | _____ | _____ |
| <input type="checkbox"/> MOU between Applicant and PHA/tribe/TDHE | _____ | _____ |
| <input type="checkbox"/> Accessible Community Facility – Description or
Executed Use Agreement (if facility provided is not a PHA) | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency and Compliance
with General SuperNOFA Threshold Requirements | _____ | _____ |

TAB 2: Program Description and Budget

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Needs Assessment Report | _____ | _____ |
| <input type="checkbox"/> Program Activities Description | _____ | _____ |
| <input type="checkbox"/> Experience and Staffing—Narrative | _____ | _____ |
| <input type="checkbox"/> Chart A: CB/CR Program Staffing | _____ | _____ |

HUD-2001-ROSS (01/01)

CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**APPLICATION CHECKLIST (continued)**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Resumes or Summary of Proposed Staff's Qualifications	_____	_____
<input type="checkbox"/> Chart B: Applicant Track Record	_____	_____
<input type="checkbox"/> Work Plan Summary	_____	_____
<input type="checkbox"/> Chart C: Summary Budget Line Items	_____	_____
<input type="checkbox"/> Chart D: Budget Workplan Summary, Parts I and II	_____	_____

TAB 3: Other Certifications and Assurances
(See Part VII of this Application Kit for all forms in this tab.)

<input type="checkbox"/> Certification for a Drug-Free Workplace (Form HUD-50070)	_____	_____
<input type="checkbox"/> Certification of Payments to Influence Federal Transactions (Form HUD-50071), and if applicable, Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A)	_____	_____
<input type="checkbox"/> Applicant/Recipient Disclosure/Update Report (Form HUD-2880)	_____	_____
<input type="checkbox"/> Certification Regarding Debarment and Suspension (Form HUD-2992)	_____	_____
<input type="checkbox"/> Acknowledgement of Application Receipt (Form HUD-2993)	_____	_____

OMB Approval No. 2577-0221

ROSS FY 2001 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

THRESHOLD CHECKLIST

Applicant: _____ **Date:** _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See ROSS NOFA, Section VI (A) & (C) and General SuperNOFA Section II). *Note: Items marked with an * do not apply to tribes/TDHEs.*

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
1. Written Agreement with Mediator (CR <u>only</u>)	_____	_____
2. Mediation Experience Certification AND one referral agreement with a judicial, Law enforcement, or social service agency OR a narrative on direct experience with public or assisted housing residents. (Conflict Resolution only)	_____	_____
3. *Proof of Applicant Nonprofit Status -- Copy of Certification of Incorporation or Good Standing from the State or Copy of IRS 501(c) designation	_____	_____
4. Match Agreements—Not less than 25% of grant requested	_____	_____
5. List of RAs to Receive Support and Letters of Support from RAs	_____	_____
6. *Certificate of Compliance with either 24 CFR Part 84 or Contract Administrator Signed Statement	_____	_____
7. MOU between Applicant and PHA/tribe/TDHE	_____	_____
8. Accessible Community Facility – Description or Executed Use Agreement (if facility provided is not a PHA)	_____	_____
9. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements	_____	_____

HUD-2001-ROSS (01/01)

ROSS FY 2001 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION
CERTIFICATE OF MEDIATION EXPERIENCE

All Conflict Resolution applicants must provide the following certification of their mediation/PHA partner's experience with providing mediation services and mediation training/grass roots intervention experience. All applicants must also attach **either** one referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation referral of public housing residents, **or** a narrative description of direct experience with public or assisted housing residents.

The Applicant _____ certifies that:

_____ All mediator/PHA partners must have at least 1 year of experience in providing mediation services.

AND

_____ All mediator/PHA partners must have at least 1 year of experience in providing mediation training and/or effective grass roots intervention experience.

Applicant Signature

Date

Partner Agency Name

Date

Partner Signature

Partner Agency Name

Date

Partner Signature

Applicant:

[illegible]

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

***Certification of Consistency and Compliance with General
SuperNOFA Threshold Requirements***

I CERTIFY that the proposed CB or CR activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in your application to address the furtherance of fair housing. *Section 109 of the Housing and Community Development Act of 1974.*
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Act of 1975*, and section 109 of the *Housing and Community Development Act of 1974*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____

OMB Approval No. 2577-0221

Chart A: CB/CR PROGRAM STAFFING

Applicant Name: _____

I. APPLICANT				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACTOR ROLE		
Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

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**Chart B: CB/CR Applicant Track Record
Applicant:**

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

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**ROSS FY 2001 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

**CHART C
CB/CR SUMMARY BUDGET LINE ITEMS**

Applicant Name: _____ **Date:** _____

Check the appropriate line items for the grant for which you are applying.

Capacity Building

_____ 3000	Capacity Building Activities
_____ 3010	Training
_____ 3011	Consultants
_____ 3012	Other
_____ 9100	Travel Costs
_____ 9300	Contract Administrator
_____ 9400	Administrative Costs

Conflict Resolution

_____ 4000	Mediation Activities
_____ 4010	Establishment of Violence Free Zones
_____ 4011	Youth Services Activities
_____ 4012	Resident/PHA Issues
_____ 4013	Development of Materials
_____ 4014	Training for Mediation/Reconciliation
_____ 4015	Technical Assistance to RAs
_____ 9100	Travel Costs
_____ 9300	Contract Administrator
_____ 9400	Administrative Costs

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CHART D: BUDGET WORK PLAN SUMMARY -PART I (Capacity Building or Conflict Resolution) Applicant Name:

BUDGET LINE ITEM Include grant funding totals in each bolded line item.	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	CB/CR GRANT FUNDS	NON-CB/CR PARTNER FUNDS	ACTIVITY START/END DATE
3000 Capacity Building Activities TOTAL: \$				
3010 Training				
3011 Consultants				
3012 Other				
9100 Travel Costs TOTAL: \$				
9300 Contract Administrator TOTAL: \$				
9400 Administrative Costs TOTAL: \$				

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CHART D: BUDGET WORK PLAN SUMMARY-PART I (Continued)

BUDGET LINE ITEM Include grant funding totals in each bolded line item.	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	CB/CR GRANT FUNDS	NON- CB/CR PARTNER FUNDS	ACTIVITY START/END DATE
4000 Mediation Activities				
TOTAL: \$				
4010				
Establishment of Violence				
Free Zones				
4011				
Youth Services Activities				
4012				
Resident/PHA Issues				
4013				
Development of Materials				
4014				
Training for Mediation/ Reconciliation				
4015				
Technical Assistance to RAs				

CHART D: BUDGET WORK PLAN SUMMARY-PART I (Continued)

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BUDGET LINE ITEM Include grant funding totals in each bolded line item.	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	CB/CR GRANT FUNDS	NON- CB/CR PARTNER FUNDS	ACTIVITY START/END DATE
9100 Travel Costs TOTAL: \$				
9300 Contract Admin. TOTAL: \$				
9400 Administrative Costs TOTAL: \$				

Chart D: CB/CR Budget Work Plan Summary - Part II (Capacity Building)

Please insert below the totals for each Summary Budget Line Item to be included in your Capacity Building grant. These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	CB GRANT TOTAL
3000 Capacity Building Activities	\$
9100 Travel Costs	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
TOTAL of all Capacity Building Funds Requested	\$

Chart D: CB/CR Budget Work Plan Summary - Part II (Conflict Resolution)

Please insert below the totals for each Summary Budget Line Item to be included in your Conflict Resolution grant. These totals can be found in the far left column on Part I of Chart D.

SUMMARY BUDGET LINE ITEMS	CR GRANT TOTAL
4000 Mediation Services	\$
9100 Travel Costs	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
TOTAL of all Conflict Resolution Funds Requested	\$

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**RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY
PROGRAM**

**APPLICATION FOR FY 2001 FUNDING
COVER SHEET**

Funding Category (Check only ONE):

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models –Elderly/Disabled
- ☐ Service Coordinators

Submitted

By:

(Applicant Name)

Contact

Person:

Telephone: () _____

Delivered To:

(HUD Field Office)

Date:

PLEASE USE THIS PAGE AS COVER PAGE

ROSS FY 2001 FUNDING**FACT SHEET****Applicant Information**

Applicant: _____

Applicant Type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

HUD Region: _____ State: _____ HUD Field Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models - Family
- ☐ Resident Service Delivery Models - Elderly/Disabled
- ☐ Service Coordinator Renewal

Unit Count

_____ Total number of conventional public housing units under management**
(excluding any Section 8)

_____ Total number of family-occupied conventional public housing units.

_____ Total number of elderly/disabled-occupied conventional public housing units.

****Tribal or TDHE applicants should use the unit count described in the NOFA Section II (F).**

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ROSS FY 2001 FUNDING***FACT SHEET (continued)*****SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION (Does not apply to SC applicants)**

Name of Board Member	Title	Appointment	Term Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Date of Last Board Election: _____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

For any previous ROSS grants you have received, you must note the Fiscal Year, ROSS Category (RSDM, RMBD, etc.), and Award Amount.

ROSS FY 2001 FUNDING***FACT SHEET (continued)***

Name(s) of public housing development(s) targeted for ROSS Activities (Use additional pages if necessary.)

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or Other Authorized Representative

For: _____
Applicant Name

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ROSS FY 2001 FUNDING

PROGRAM SUMMARY

Applicant: _____ Date: _____

Applicant type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

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ROSS FY 2001 FUNDING**PROGRAM SUMMARY (continued)**

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

TOTAL

_____	_____
-------	-------

ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For Applicant: _____

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

COVER MATERIALS (See Part II of this application kit for forms in this tab.)

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Application Checklist | _____ | _____ |
| <input type="checkbox"/> Application Cover Sheet | _____ | _____ |
| <input type="checkbox"/> Application for Federal Assistance
(Standard Form SF-424) | _____ | _____ |
| <input type="checkbox"/> Federal Assistance Funding Matrix
(Form HUD-424M) | _____ | _____ |
| <input type="checkbox"/> Standard Form for Budget Information
Non-Construction Programs (SF-424A) | _____ | _____ |
| <input type="checkbox"/> Assurances – Non-Construction
Programs (Form SF-424B) | _____ | _____ |
| <input type="checkbox"/> ROSS Fact Sheet | _____ | _____ |
| <input type="checkbox"/> ROSS Program Summary | _____ | _____ |

TAB 1: Threshold Requirements

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Threshold Checklist | _____ | _____ |
| <input type="checkbox"/> Certification on Resident Affected by Welfare
Reform (Family RSDM Applicants Only) | _____ | _____ |

ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Elderly Housing Development Certification (Elderly RSDM Applicants Only)	_____	_____
<input type="checkbox"/> Accessible Community Facility –Description or Executed Use Agreement (if facility provided is not a PHA)	_____	_____
<input type="checkbox"/> Match Agreements-Not less than 25% of grant requested	_____	_____
<input type="checkbox"/> Physical Improvements (Only for applicants proposing physical improvements) --A description of the renovation or conversion to be conducted, along with a budget and timetable for those activities --A firm commitment of assistance from one or more sources enduring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities.	_____	_____
<input type="checkbox"/> Certificate of Compliance with either 24 CFR Part 84 or 85 or Contract Administrator Signed Statement (not for Tribes/TDHEs or non-troubled PHAs)	_____	_____
<input type="checkbox"/> Proof of Nonprofit Status (RA, IRO, and Nonprofit Applicants Only). IROs must have 501 (c) status.	_____	_____
<input type="checkbox"/> Certification of Resident Council Board Election (RA Applicants Only)	_____	_____
<input type="checkbox"/> List of RAs to Be Served and Letters of Support from RAs	_____	_____
<input type="checkbox"/> Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements Certification	_____	_____

TAB 2: Capacity of the Applicant and Relevant Organizational Experience

<input type="checkbox"/> Chart A: Program Staffing	_____	_____
<input type="checkbox"/> Narrative on proposed staffing and coordination among service providers	_____	_____

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ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
<input type="checkbox"/> Chart B: Applicant/Administrator Track Record	_____	_____
<input type="checkbox"/> Organization Chart	_____	_____
<input type="checkbox"/> Staff Position Descriptions	_____	_____
<input type="checkbox"/> Staff Resumes or Background/ Experience Descriptions	_____	_____
<input type="checkbox"/> Narrative on program administration and fiscal management structure	_____	_____
TAB 3: Needs/Extent of Problem		
<input type="checkbox"/> Needs Assessment Report	_____	_____
<input type="checkbox"/> Narrative on level of priority in Consolidated Plan/IHP	_____	_____
TAB 4: Soundness of Approach		
<input type="checkbox"/> Narrative describing proposed services	_____	_____
<input type="checkbox"/> Narrative on resident contracting and employment	_____	_____
<input type="checkbox"/> Chart C: Summary Budget Line Items	_____	_____
<input type="checkbox"/> Chart D: Budget Work Plan Summary, Parts I and II	_____	_____
<input type="checkbox"/> Narrative on program assessment	_____	_____
<input type="checkbox"/> Narrative on resident involvement and other partnerships	_____	_____
<input type="checkbox"/> Narrative on relationship coordination	_____	_____
TAB 5: Leveraging Resources		
<input type="checkbox"/> Narrative on the contributions, roles, and responsibilities of each partner	_____	_____

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ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST (Continued)

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

TAB 6: Comprehensiveness and Coordination

- | | | |
|--|-------|-------|
| <input type="checkbox"/> Narrative demonstrating review of Consolidated Plan/IHP | _____ | _____ |
| <input type="checkbox"/> Narrative on coordination w/ State/local welfare plan | _____ | _____ |
| <input type="checkbox"/> Narrative on coordination with other activities | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency w/ the Consolidated Plan | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency w/ the Indian Housing Plan (Tribes/TDHEs only) | _____ | _____ |

TAB 7: Bonus Points

- | | | |
|---|-------|-------|
| <input type="checkbox"/> EZ/EC Certification | _____ | _____ |
| <input type="checkbox"/> Certification of an Apprenticeship Program | _____ | _____ |

TAB 8: Other Certifications and Assurances

(See Section VII of this Application Kit for all forms in this tab.)

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Certification for a Drug-Free Workplace (Form HUD-50070) | _____ | _____ |
| <input type="checkbox"/> Certification of Payments to Influence Federal Transactions (Form HUD 50071), and if applicable, Disclosure of Lobbying Activities (Form SF- LLL) and Disclosure of Lobbying Activities Continuation Sheet (Form SF-LLL-A) | _____ | _____ |
| <input type="checkbox"/> Applicant/Recipient Disclosure/Update Report (Form HUD-2880) | _____ | _____ |
| <input type="checkbox"/> Certification Regarding Debarment and Suspension (Form HUD-2992) | _____ | _____ |
| <input type="checkbox"/> Acknowledgment of Application Receipt (Form HUD-2993) | _____ | _____ |

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ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

THRESHOLD CHECKLIST

Applicant: _____ **Date:** _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section VI (A) & (D) and General SuperNOFA Section II).

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE ONLY
1. Certification on Residents Affected by Welfare Reform (Family applicants only)	_____	_____
2. Elderly Housing Development Certification (Elderly applicants only)	_____	_____
3. Accessible Community Facility Description or Executed Use Agreement (if facility provided is not a PHA)	_____	_____
4. Match Agreements	_____	_____
5. Physical Improvements (Only for applicants proposing physical improvements)	_____	_____
6. Certification of Compliance with either 24 CFR Part 84 or 85 or Contract Administrator Signed Statement (not for Tribes/TDHE or non-troubled PHAs)	_____	_____
7. Proof of Applicant Nonprofit Status (RA, IROs, and non-profit applicants only)	_____	_____
8. Certification of Resident Board Election (RA applicants only)	_____	_____
9. List of RAs to be Served and Letters of Support from RAs	_____	_____
10. Certification of Consistency and Compliance with General SuperNOFA Threshold Requirements Certification	_____	_____

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

THRESHOLD REQUIREMENTS

1. Focus on Residents Affected by Welfare Reform. This requirement is not applicable to your program if it serves the elderly or persons with disabilities. Your Family RSDM application must contain a certification (using the certification provided below) that at least 51% of residents to be included in your proposed program are affected by welfare reform.

**RSDM CERTIFICATION ON RESIDENTS AFFECTED
BY WELFARE REFORM**

I certify that a total of _____ people reside in the housing developments listed below, which are targeted for activities during the proposed RSDM grant.

This proposed RSDM grant will serve a total of _____ residents. Included in the recipients to be served are residents affected by welfare reform who are either:

(1) Currently eligible to receive, are currently receiving, or shall have received within the preceding 4 years assistance or services funded under Temporary Assistance for Needy Families (TANF), SSI, or Food Stamps.

(2) Elderly or disabled persons, otherwise not affected by welfare reform, who will provide services such as child care or mentoring to families affected by welfare reform.

I certify that _____% of residents to be served are affected by welfare reform, as defined above. **At least 51% of residents must be affected by welfare reform for your application to meet the threshold requirement of this NOFA.**

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or other Authorized Representative

For: _____
Applicant Name

OMB Approval No. 2577-0221

**ROSS FY 2001 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

2. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities.

**RSDM ELDERLY HOUSING
DEVELOPMENT CERTIFICATION**

I CERTIFY that _____% of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities at the time of the application; thereby meeting or exceeding the 25% requirement.

Signed this _____ day of _____, 2001.

By: _____
*Applicant Executive Director or other Authorized Representative*For: _____
Applicant Name

**ROSS FY 2001 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

7. Applicant Nonprofit Status. Both RA and nonprofit applicants (other than Intermediary Resident Organizations) must submit evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission **OR** Section 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission. IRO applicants, as a condition of their status as eligible applicants, must have and present IRS 501 (c) designation.

Evidence of State incorporation for all nonprofit applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of a nonprofit applicant's 501(c) status shall be a copy of the IRS 501(c) designation.

8. Certification of Resident Board Election. RA applicants must submit certification of the RA board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

Certification of Resident Council Board Election

I CERTIFY _____
(name of organization)

located in _____ has duly elected all
(city & state)

of Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations (CFR), Part 964.

Date of Last Resident Council Board Election: _____

(Name and Title of Certifying Housing Agency Official)

(Signature) (Date)

(Name and Title of Independent Third-Party Monitor)

(Signature) (Date)

NOTARY (Signature & Date) _____

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

**CERTIFICATION OF CONSISTENCY AND COMPLIANCE WITH
GENERAL SUPERNOFA THRESHOLD REQUIREMENTS**

I CERTIFY that the proposed RSDM activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Act of 1975*, and section 109 of the *Housing and Community Development Act of 1974*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

OMB Approval No. 2577-0221

Applicant Name:

Chart A: RSDM PROGRAM STAFFING**I. APPLICANT STAFF**

Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant
Budget line item 2005 Program Coordination				

II. CONTRACTOR/CONSULTANT ROLE

Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program
III. Contract Administrator		
Budget Line Item 9300 Contract Administrator		

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

**CHART C
RMBD BUDGET LINE ITEM SUMMARY**

Applicant Name: _____ **Date:** _____

Please check the following as appropriate for your proposed program.

Resident Management and Business Development

- | | |
|------------|--|
| _____ 1010 | Physical Improvements |
| _____ 1020 | Resident Business Development |
| _____ 1021 | Develop Business Plan |
| _____ 1022 | Conduct Market Analysis |
| _____ 1023 | Licensing, Insurance Bonding |
| _____ 1024 | Training Related to Resident Owned Business |
| _____ 1025 | Establishment of Resident Managed Business Development |
| _____ 1026 | Technical Assistance |
| _____ 1030 | Resident Organization Development Activities |
| _____ 1031 | Organize Community |
| _____ 1032 | Operating Procedures |
| _____ 1033 | Develop MOU |
| _____ 1034 | Develop Plan for Technical Assistance |
| _____ 1035 | Consultant Contracts |
| _____ 1036 | Self Sufficiency Programs |
| _____ 1040 | Resident Management |
| _____ 1041 | Conduct Feasibility Study |
| _____ 1042 | Secure Training/Skills/Expertise |
| _____ 1043 | Develop MOU |
| _____ 1044 | Secure T/A to Draft Contract |
| _____ 1045 | Negotiate Contract with PHA |
| _____ 1046 | Conduct Resident Training/Preparation |
| _____ 1050 | Self Sufficiency Program |
| _____ 1051 | Employment and Job Readiness |
| _____ 1052 | Job Training |
| _____ 1053 | Management Related Employment Training |
| _____ 1054 | Vocational Training |
| _____ 1055 | Technical Assistance |
| _____ 1060 | Supportive Services |
| _____ 9100 | Travel Costs |
| _____ 9200 | Other Resident Costs (Stipends, Reimbursements) |
| _____ 9300 | Contract Administrator |
| _____ 9400 | Administrative and Other Costs |

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ROSS FY 2001 FUNDING RESIDENT SERVICE DELIVERY MODELS

Chart C RSDM SUMMARY BUDGET LINE ITEMS

Applicant Name: _____ **Date:** _____

Please check specific budget amounts for each line item. These budget line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of grant drawdowns.

BUDGET LINE ITEM		AMOUNT
2005	Program Coordinator (family or elderly)	_____
2010	Physical Improvements	_____
2020	Entrepreneur Business Development	_____
2021	Establishing A Revolving Loan Fund	_____
2022	Developing a Credit Union	_____
2030	Business Development	_____
2031	Develop Business Plan	_____
2032	Conduct Market Analysis	_____
2033	Secure Licensing, Insurance, Bonding	_____
2034	Training Related to Resident Owned Business	_____
2035	Establishment of Resident Managed Business Development	_____
2040	Resident Organization Development Activities	_____
2041	Organize Community	_____
2042	Operating Procedures	_____
2043	Develop MOU	_____
2044	Develop Plan for Technical Assistance	_____
2045	Consultant Contracts	_____
2046	Self Sufficiency Programs	_____
2050	Resident Management	_____
2051	Conduct Feasibility Study	_____
2052	Secure Training/Skills/Expertise	_____
2053	Develop MOU	_____
2054	Consultant	_____
2055	Secure T/A to Draft Contract	_____
2056	Negotiate Contract with PHA	_____
2057	Conduct Resident Training Preparation	_____

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SUMMARY BUDGET INFORMATION (continued)

2060	Self Sufficiency Program	_____
2061	Program Coordinator	_____
2062	Physical Improvements	_____
2063	Employment and Job Readiness	_____
2064	Job Training	_____
2065	Management Related Employment Training	_____
2066	Vocational Training	_____
2067	Technical Assistance	_____
2070	Family Supportive Services	_____
2870	Elderly Supportive Services	_____
9100	Travel Costs	_____
9200	Other Resident Costs	_____
	(Stipends, Reimbursements)	_____
9300	Contract Administrator	_____
9400	Administrative and Other Costs	_____

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CHART D: RSDM Budget Work Plan Summary – Part I **Applicant Name:**

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2010 Physical Improvements TOTAL: \$				
2020 Entrepreneur Bus. Dev. TOTAL: \$				
2021 Establish a Revolving Loan Fund				
2022 Develop a Credit Union				
2030 Business Development TOTAL: \$				
2031 Develop Business Plan				
2032 Conduct Market Analysis				
2033 Secure Licensing, Insurance, Bonding				

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CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: Housing Authority, Contractor, Subgrantee, or other partners)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2034 Training Related to Resident Owned Business				
2035 Establishment of Resident Managed Business Development				
2040 Resident Organization Development Activities TOTAL: \$				
2041 Organize Community				
2042 Operating Procedures				
2043 Develop MOU				
2044 Develop Plan for Technical Assistance				

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OMB Approval No. 2577-0221

CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2045 Consultant Contracts				
2046 Self Sufficiency Programs				
2050 Resident Management TOTAL: \$				
2051 Conduct Feasibility Study				
2052 Secure Training/Skills/ Expertise				
2053 Develop MOU				
2054 Consultant				

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OMB Approval No. 2577-0221

CHART D: RSDM Budget Work Plan Summary – Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2055 Secure T/A to Draft Contract				
2056 Negotiate Contract with PHA				
2057 Conduct Resident Training Preparation				
2060 Self Sufficiency Program TOTAL: \$				
2061 Program Coordinator				
2062 Physical Improvements				
2063 Employment and Job Readiness				

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OMB Approval No. 2577-0221

CHART D: RSDM Budget Work Plan Summary -- Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency, housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
2064 Job Training				
2065 Management Related Employment Training				
2066 Vocational Training				
2067 Technical Assistance				
2070 Family Supportive Svs TOTAL: \$				
2005 Program Coordinator TOTAL: \$				
2870 Elderly Supportive Svs TOTAL: \$				
9100 Travel Costs TOTAL: \$				
9200 Other Resident Costs (Stipends, Reimbursements) TOTAL: \$				

HUD-2001-ROSS (01/01)

OMB Approval No. 2577-0221

CHART D: RSDM Budget Work Plan Summary -- Part I (continued)

BUDGET LINE ITEM For each bolded line item, enter total grant funds	ACTIVITIES (Identify lead agency: housing authority, contractor, subgrantee, etc)	RSDM GRANT FUNDS	NON-RSDM/ PARTNER FUNDS	ACTIVITY START/END DATE
9300 Contract Administrator TOTAL: \$				
9400 Admin. & Other Costs TOTAL: \$				

Chart D: RSDM Budget Work Plan Summary - Part II

Please insert below the totals for each Summary Budget Line Item to be included in your grant.

These totals can be found in the far left column on Part I of the chart above.

SUMMARY BUDGET LINE ITEMS	RSDM GRANT TOTAL
2005 Program Coordinator	\$
2010 Physical Improvements	\$
2020 Entrepreneur Business Development	\$
2030 Business Development	\$
2040 Resident Organization Development Activities	\$
2050 Resident Management	\$
2060 Self Sufficiency Programs	\$
2070 Family Supportive Services	\$
2870 Elderly Supportive Services	\$
9100 Travel Costs	\$
9200 Other Resident Costs (Stipends, Reimbursements, etc.)	\$
1060 Supportive Services	\$
9100 Travel Costs	\$
9300 Contract Administrator	\$
9400 Administrative and Other Costs	\$
TOTAL of all RSDM Funds Requested	\$

HUD-2001-ROSS (01/01)

OMB Approval No. 2577-0221

**ROSS FY 2001 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

CERTIFICATION OF APPRENTICESHIP PROGRAM

I certify that the proposed activities in this FY 2001 Family RSDM Application are related to the establishment of or participation in a formalized, structured apprenticeship training program approved and registered by the U.S. Department of Labor, Bureau of Apprenticeship and Training (BAT), or a BAT-recognized State Apprenticeship Agency (SAC).

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Official

For: _____
Applicant Name

HUD-2001-ROSS (01/01)

OMB Approval No. 2577-0221

**CERTIFICATION OF CONSISTENCY WITH THE
INDIAN HOUSING PLAN****U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Indian Housing Plan.

Applicant Name: _____

Project Name: _____

Location of the Project: _____

Name of the Federal Program(s) to
which the applicant is applying: _____

Name of Certifying Jurisdiction: _____

Title: _____

Signature: _____

Date: _____

OMB Approval No. 2577-0221

**RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY
PROGRAM**

**APPLICATION FOR FY 2001 FUNDING
COVER SHEET**

Funding Category (Check only ONE):

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models –Elderly/Disabled
- ☐ Service Coordinators

Submitted

By:

(Applicant Name)

Contact

Person:

Telephone: () _____

Delivered To:

(HUD Field Office)

Date:

PLEASE USE THIS PAGE AS COVER PAGE

ROSS FY 2001 FUNDING***FACT SHEET*****Applicant Information**

Applicant: _____

Applicant Type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

HUD Region: _____ State: _____ HUD Field Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models - Family
- ☐ Resident Service Delivery Models - Elderly/Disabled
- ☐ Service Coordinator Renewal

Unit Count☐ Total number of conventional public housing units under management**
(excluding any Section 8)☐ Total number of family-occupied conventional public housing units.☐ Total number of elderly/disabled-occupied conventional public housing units.****Tribal or TDHE applicants should use the unit count described in the NOFA Section II (F).**

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ROSS FY 2001 FUNDING***FACT SHEET (continued)*****SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION (Does not apply to SC applicants)**

Name of Board Member	Title	Appointment	Term Date

Date of Last Board Election: _____

Does the organization have block captains? Yes____ No____

Does the organization have an operating committee? Yes____ No____

For any previous ROSS grants you have received, you must note the Fiscal Year, ROSS Category (RSDM, RMBD, etc.), and Award Amount.

ROSS FY 2001 FUNDING***FACT SHEET (continued)***

Name(s) of public housing development(s) targeted for ROSS Activities (Use additional pages if necessary.)

Signed this _____ day of _____, 2001.

By: _____
Applicant Executive Director or Other Authorized Representative

For: _____
Applicant Name

OMB Approval No. 2577-0221

**ROSS FY 2001 FUNDING
PROGRAM SUMMARY**

Applicant: _____

Date: _____

Applicant type: ☐ PHA ☐ RA ☐ IRO ☐ NONPROFIT ☐ TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

ROSS FY 2001 FUNDING**PROGRAM SUMMARY (continued)**

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
----------------	---------------------------	------------------

_____	_____	_____
-------	-------	-------

Partner's Address

TOTAL

_____	_____
-------	-------

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ROSS FY 2001 FUNDING SERVICE COORDINATORS

APPLICANT CHECKLIST

I CERTIFY that the following application checklist is complete and that it accurately reflects the contents of my application.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive or Other Authorized Representative

For Applicant: _____

Use this checklist to review your package and insure all materials are properly completed and included. **Submit a copy of this form with your application.**

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

Cover Materials

(See Part II of this application kit for some forms in this tab.)

<input type="checkbox"/> Application Checklist	_____	_____
<input type="checkbox"/> Application Cover Sheet	_____	_____
<input type="checkbox"/> Lead agency letter form (if applicable)	_____	_____
<input type="checkbox"/> Evidence of Comparable Salaries in Local Area	_____	_____
<input type="checkbox"/> Application for Federal Assistance (Standard Form SF-424)	_____	_____
<input type="checkbox"/> Federal Assistance Funding Matrix (Form HUD-424-M)	_____	_____
<input type="checkbox"/> Assurances—Non-Construction Programs (Standard Form SF-424B)	_____	_____
<input type="checkbox"/> ROSS Fact Sheet	_____	_____
<input type="checkbox"/> Chart A: Summary Budget Line Items	_____	_____

HUD-2001-ROSS (01/01)

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ROSS FY 2001 FUNDING SERVICE COORDINATORS

SUBMISSION	APPLICANT USE ONLY	HUD USE ONLY
------------	-----------------------	-----------------

TAB 1: Threshold Requirements

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Request Letter | _____ | _____ |
| <input type="checkbox"/> Elderly Housing Development Certification | _____ | _____ |
| <input type="checkbox"/> Accessible Community Facility
Evidence and description | _____ | _____ |
| <input type="checkbox"/> Match Agreements – Not less than
25% of the grant requested | _____ | _____ |
| <input type="checkbox"/> Certification of Consistency and Compliance
w/ General SuperNOFA Threshold Requirements | _____ | _____ |

**TAB 2: Certifications and Assurances
(See Part VII of this application kit.)**

- | | | |
|---|-------|-------|
| <input type="checkbox"/> Certification for a Drug-Free Workplace
(Form HUD-50070) | _____ | _____ |
| <input type="checkbox"/> Certification of Payments to Influence
Federal Transactions (Form HUD-50071), and
If applicable, Disclosure of Lobbying Activities
(Form SF- LLL) and Disclosure of Lobbying Activities
Continuation Sheet (Form SF-LLL-A) | _____ | _____ |
| <input type="checkbox"/> Applicant/Recipient Disclosure/Update Report
(Form HUD-2880) | _____ | _____ |
| <input type="checkbox"/> Certification Regarding Debarment
and Suspension (Form HUD-2992) | _____ | _____ |
| <input type="checkbox"/> Acknowledgment of Application Receipt
(Form HUD-2993) | _____ | _____ |

HUD-2001-ROSS (01/01)

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**ROSS FY 2001 FUNDING
SERVICE COORDINATORS****TRANSMITTAL LETTER FORMAT FOR DESIGNATED
LEAD AGENCY**

If more than one public housing agency is proposing to share a service coordinator, one agency **must** designate itself the "lead." This agency must submit a letter following this format on organization letterhead, signed by an authorized person.

Dear _____
Director, Public Housing _____ Date _____

The following PHAs are jointly submitting a single Service Coordinator application:

This request includes _____ (specify the number) developments, which will share a Service Coordinator. The developments are:

<u>Development Name and Address</u>	<u>Amount Requested (\$)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

The completed requests from each of these ____ (specify number) ____ applicants are attached to this letter.

Sincerely,

Signature

Typed Name

Title

HUD-2001-ROSS (01/01)

**ROSS FY 2001 FUNDING
SERVICE COORDINATORS****CHART A: SUMMARY BUDGET LINE ITEMS****Service Coordinators**

_____ 9810	Administrative Costs
_____ 9820	Other Program Expenses
_____ 9830	Training
_____ 9840	Salaries
_____ 9850	Fringe
_____	TOTAL

**ROSS FY 2001 FUNDING
SERVICE COORDINATORS****REQUEST LETTER FORMAT**

Dear _____ Date: _____
Director, Public Housing

The following is my request for a one-year Service Coordinator renewal grant. I am requesting a total grant amount of \$_____.

I. APPLICANT AND DEVELOPMENT(S)

1. PHA name and address:

2. Development name(s) and address(s):

_____	_____
_____	_____
_____	_____

3. Development number(s) and Congressional District(s):

_____	_____
_____	_____
_____	_____

4. Did you have a FY 1995 Elderly Service Coordinator grant? ___Yes ___No.

I. DEVELOPMENT INFORMATION

1. Total Number of Units Occupied by the Elderly and/or Persons with Disabilities: ____.

2. Total Number of Residents: ____.

3. Estimated Number Frail Elderly and Persons with Disabilities: ____.

4. Estimated Number At-Risk Elderly: ____.

5. Applicant will contract out for a Service Coordinator. ___Yes ___No

6. Development will share a Service Coordinator with other development(s) or applicant(s). ☐ Yes ☐ No

If yes, please give name and address of the development(s) and applicant(s), if different.

_____	_____
_____	_____
_____	_____

7. Total number of Service Coordinators to be funded by the grant funds: ____.

I. COSTS

FY 2001 award amounts cannot be higher than the applicant's highest funding and staffing level approved for a one-year period for the applicant's last funded Service Coordinator grant. An increase of up to 2% will be allowed if supported by a narrative justification attached to this Request Letter.

1. Salary Rate

- a. Determine the base salary level, looking at comparable positions (modified by number of hours worked).

Base salary level \$ _____

- b. Fringe benefits

% of base salary _____%

Dollar value \$ _____

- c. Salary rate

\$ _____ + \$ _____ = \$ _____
base salary fringe benefits salary rate

OMB Approval No. 2577-0221

III. COSTS (continued)**1. Administrative Costs**

Any administrative costs may amount to no more than 20% of the total grant.

Item	Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
Total:	\$ _____

2. Total Cost

One-year total costs:

Allowable administrative costs	\$ _____	+
Annual salary rate	\$ _____	=
Total Cost	\$ _____	

We appreciate your consideration of this request. If there are any questions, your staff may call _____ at _____ for further information.

Sincerely,

Signature

Typed Name

Title

**ROSS FY 2001 FUNDING
SERVICE COORDINATORS**

Applicant: _____ Date: _____

2. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly persons with disabilities at the time of the application.

**SERVICE COORDINATOR
ELDERLY HOUSING DEVELOPMENT CERTIFICATION**

I CERTIFY that ____% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application; thereby meeting or exceeding the 25% requirement.

Signed this _____ day of _____, 2001.

By: _____
*Applicant Executive Director or other Authorized Representative*For: _____
Applicant Name

**ROSS FY 2001 FUNDING
SERVICE COORDINATOR**

**CERTIFICATION OF CONSISTENCY AND COMPLIANCE WITH
GENERAL SUPERNOfA THRESHOLD REQUIREMENTS**

I CERTIFY that the proposed Service Coordinator activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Affirmatively Furthering Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the Service Coordinator application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Act of 1975*, and section 109 of the *Housing and Community Development Act of 1974*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.

Signed this _____ day of _____, 2001.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

**ROSS FY 2001 FUNDING
SERVICE COORDINATORS****REQUEST LETTER FORMAT**

Dear _____ Date: _____
Director, Public Housing

The following is my request for a one-year Service Coordinator renewal grant. I am requesting a total grant amount of \$_____.

I. APPLICANT AND DEVELOPMENT(S)

1. PHA name and address:

2. Development name(s) and address(s):

_____	_____
_____	_____
_____	_____

3. Development number(s) and Congressional District(s):

_____	_____
_____	_____
_____	_____

4. Did you have a FY 1995 Elderly Service Coordinator grant? ___Yes ___No.

I. DEVELOPMENT INFORMATION

1. Total Number of Units Occupied by the Elderly and/or Persons with Disabilities: ____.

2. Total Number of Residents: ____.

3. Estimated Number Frail Elderly and Persons with Disabilities: ____.

4. Estimated Number At-Risk Elderly: ____.

5. Applicant will contract out for a Service Coordinator. ___Yes ___No

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6. Development will share a Service Coordinator with other development(s) or applicant(s). ☐ Yes ☐ No

If yes, please give name and address of the development(s) and applicant(s), if different.

_____	_____
_____	_____
_____	_____

7. Total number of Service Coordinators to be funded by the grant funds: ____.

I. COSTS

FY 2001 award amounts cannot be higher than the applicant's highest funding and staffing level approved for a one-year period for the applicant's last funded Service Coordinator grant. An increase of up to 2% will be allowed if supported by a narrative justification attached to this Request Letter.

1. Salary Rate

- a. Determine the base salary level, looking at comparable positions (modified by number of hours worked).

Base salary level \$ _____

- b. Fringe benefits

% of base salary _____%

Dollar value \$ _____

- c. Salary rate

\$ _____ + \$ _____ = \$ _____
base salary fringe benefits salary rate

HUD-2001-ROSS (01/01)

III. COSTS (continued)**1. Administrative Costs**

Any administrative costs may amount to no more than 20% of the total grant.

Item	Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
Total:	\$ _____

2. Total Cost

One-year total costs:

Allowable administrative costs	\$ _____	+
Annual salary rate	\$ _____	=
Total Cost	\$ _____	.

We appreciate your consideration of this request. If there are any questions, your staff may call _____ at _____ for further information.

Sincerely,

_____ Signature	_____ Typed Name	_____ Title
--------------------	---------------------	----------------

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**ROSS FY 2001 FUNDING
SERVICE COORDINATORS**

Applicant: _____ Date: _____

2. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly persons with disabilities at the time of the application.

**SERVICE COORDINATOR
ELDERLY HOUSING DEVELOPMENT CERTIFICATION**

I CERTIFY that ____% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application; thereby meeting or exceeding the 25% requirement.

Signed this _____ day of _____, 2001.

By: _____
*Applicant Executive Director or other Authorized Representative*For: _____
Applicant Name



Federal Register

**Monday,
February 26, 2001**

Part II

Department of Housing and Urban Development

**Super Notice of Funding Availability
(SuperNOFA) for HUD's Housing,
Community Development and
Empowerment Programs and Section 8
Housing Voucher Assistance for Fiscal
Year 2001; Notice**

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4630-N-01]

Super Notice of Funding Availability (SuperNOFA) for HUD's Housing, Community Development and Empowerment Programs and Section 8 Housing Voucher Assistance for Fiscal Year 2001

AGENCY: Office of the Secretary, HUD.

ACTION: Super Notice of Funding Availability (SuperNOFA) for HUD Grant Programs.

SUMMARY: This Fiscal Year 2001 Super Notice of Funding Availability (SuperNOFA) announces the availability of approximately \$2.75 billion in HUD program funds covering 45 grant categories within programs operated and administered by HUD offices and Section 8 housing voucher assistance.

The General Section of this SuperNOFA provides the application procedures and requirements that are applicable to all the programs in this SuperNOFA. The Programs Section of this SuperNOFA provides a description of the specific programs for which funding is made available and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the General Section and the Program Section of this SuperNOFA to ensure you respond to all the requirements for funding.

APPLICATION DUE DATES: *The information in this APPLICATION DUE DATES section applies to all programs that are part of this SuperNOFA.* You, the applicant, must submit a completed application to HUD no later than the application due date established for the program for which you are seeking funding. HUD will not accept for review and evaluation any applications sent by facsimile (fax).

ADDRESSES AND APPLICATION SUBMISSION PROCEDURES: *Addresses.* You, the applicant, must submit a complete application to the location identified in the Programs Section of this SuperNOFA. When submitting your application, please refer to the name of the program for which you are seeking funding.

For Applications to HUD Headquarters. If your application is due to HUD Headquarters, you must send the application to the following address: Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410 (see the Program Chart or Programs Section for Room

location and additional information regarding the addresses for application submission). Please make sure that you note the room number. The correct room number is very important to ensure that your application is not misdirected.

For Applications to HUD Field Offices. If your application is required to be submitted to a HUD Field Office, please see the Programs Section for the exact office location for submission of your application.

Applications Submission Procedures. Mailed Applications. Your application will be considered timely filed if your application is postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within ten (10) days of the application due date.

Applications Sent by Overnight/Express Mail Delivery. If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery/express mail service by no later than the application due date.

Hand-Carried Applications. Hand-carried to HUD Headquarters. If your application is required to be submitted to HUD Headquarters, and you arrange for the application to be hand carried, hand carried applications delivered before and on the application due date must be brought to the specified location at HUD Headquarters and room number between the hours of 8:45 am to 5:15 pm, Eastern time. Applications hand carried on the application due date will be accepted in the South Lobby of the HUD Headquarters Building at the above address from 5:15 pm until 12:00 midnight, Eastern time. This deadline date is firm. Please make appropriate arrangements to arrive at the HUD Headquarters Building before 12:00 midnight, Eastern time, on the application due date.

Hand-carried to HUD Field Office. If your application is required to be submitted to a HUD Field Office, your application must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA. A hand carried application will be accepted at the specified HUD Field Office during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm, local time. (Appendix A-1 to this General Section of the SuperNOFA lists the HUD Field Offices. Please call to find out the hours of operation.) Please be

sure to arrive at the HUD Field Office with adequate time to submit the application before the 6:00 pm deadline on the application due date.

Copies of Applications to HUD Offices. The Programs Section of this SuperNOFA may specify that to facilitate the processing and review of your application, a copy of the application also must be sent to an additional HUD location (for example, a copy to the HUD Field Office if the original application is to be submitted to HUD Headquarters, or a copy to HUD Headquarters, if the original application is to be submitted to a HUD Field Office). Please follow the directions of the Programs Section to ensure that you submit your application to the proper location. For some programs, HUD requests additional copies in order to expeditiously review your application, and to ensure that all reviewers receive complete applications to review. HUD appreciates your assistance in providing the copies. Please note that for those applications for which copies are to be submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time your application is received at HUD Headquarters.

FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE:

The information in this section is applicable to all programs that are part of this SuperNOFA. This section describes how you may obtain application kits, further information about the SuperNOFA and technical assistance. A guidebook to HUD programs, titled "Connecting with Communities: A User's Guide to the HUD Programs and the 2001 SuperNOFA process" is available from the SuperNOFA Information Center and the HUD website at www.hud.gov/grants. This guidebook provides a brief description of all of HUD's programs, a description of the SuperNOFA programs, and eligible applicants for these programs, and examples of how programs can work in combination to serve local community needs. The main sources for obtaining this information are:

The SuperNOFA Information Center, which you may reach by calling 1-800-HUD-8929 or the Center's TTY number at 1-800-HUD-2209; and

HUD's web site on the Internet at <http://www.hud.gov/grants>.

For Application Kits and SuperNOFA User Guide. HUD is pleased to provide you with the FY 2001 application kits and/or a guidebook to all HUD programs that are part of this SuperNOFA. For some announcements of funding

availability in this SuperNOFA, the process for applying for funds is so simple no application kit is required. Where this is the case, the program section for that funding will note that there is no application kit. The application kits are designed to guide you through the application process and ensure that your application addresses all requirements for the program funding you are seeking. *Please note that if there is a discrepancy between information provided in the application kit and the information provided in the published SuperNOFA, the information in the published SuperNOFA prevails.* Therefore, please be sure to review your application submission against the requirements in the SuperNOFA.

You may request general information and application kits from the SuperNOFA Information Center. When requesting an application kit from the SuperNOFA Information Center, please refer to the name of the program of the application kit you are interested in receiving. Please be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare your application, requests for application kits can be made immediately following publication of the SuperNOFA. The SuperNOFA Information Center opens for business simultaneously with the publication of the SuperNOFA.

The SuperNOFA Information Center (1-800-HUD-8929) can provide you with assistance, application kits, and guidance in determining which HUD Office(s) should receive a copy of your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. Additionally, you can obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

Consolidated Application Submissions. If you, the applicant, would like to apply for funding under more than one program in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix that is provided in each application kit. As long as you submit one originally signed set of these documents with an application, you need only submit copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications.

Additionally, the Programs Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

For Further Information. For answers to your questions about this SuperNOFA, you have several options. You may call, during business hours, the SuperNOFA Information Center at 1-800-HUD-8929, or you may contact the HUD Office or Processing Center serving your area at the telephone number listed in the application kit for the program in which you are interested. If you are a person with a hearing or speech impairment you may call the Center's TTY number at 1-800-HUD-2209. You may also obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov/grants>.

For Technical Assistance. Before the application due date, HUD staff will be available to provide you with general guidance and technical assistance about this SuperNOFA. HUD staff, however, are not permitted to assist in preparing your application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

Satellite Broadcasts. HUD will hold information broadcasts via satellite for potential applicants to learn more about the programs in this SuperNOFA and preparation of the applications. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov/grants>.

For Federal Grant Information. The Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107) directs each Federal agency to develop and implement a plan that, among other things, streamlines and simplifies the application, administrative and reporting procedures for Federal financial assistance programs administered by the agency. This law also requires the Director of the Office of Management and Budget (OMB) to direct, coordinate, and assist Federal agencies in establishing: (1) a common application and reporting system; and (2) an interagency process for addressing ways to streamline and simplify Federal financial assistance application and administrative procedures and reporting requirements for program applicants.

This law also requires OMB to consult with the grantee community as it works with the Federal agencies to develop

and implement the course of action that would be undertaken by the Federal agencies to establish an electronic site for accessing grant information and applications. Over the last few months, OMB has been conducting outreach sessions informing you of the goals of this new law and seeking your input as the Federal agencies work together to achieve implementation.

HUD has been an active member in the Federal agency working groups and has established a common website where you can find information about all the grant programs within HUD. You can access this site from our homepage at www.hud.gov/grants and checking on grant program inventory. This site will be linked with other Federal agencies as the grants common website develops. If you are interested in finding out more about the "Federal Commons" and the work being done by other agencies, please visit the Inter-Agency Electronic Grants Committee (IAEGC) website at www.fedcommons.gov.

INTRODUCTION TO THE FY 2001 SUPERNOFA

HUD'S FY 2001 SuperNOFA Process

Background

This year marks the fourth year that HUD is issuing a SuperNOFA for almost all of its competitive grant programs, and additional programs have been added as noted below. The SuperNOFA approach, in which the great majority of HUD's competitive funds are announced in one document, is designed to simplify the application process, bring consistency and uniformity to the application and selection process, and accelerate the availability of funding. Equally important, the SuperNOFA approach is designed to increase the ability of applicants to consider and apply for funding under a wide variety of HUD programs. The SuperNOFA provides a "menu" of HUD competitive programs. From this menu, communities will be made aware of funding available for their jurisdictions. Nonprofits, public housing agencies, local and State governments, tribal governments and tribally designated housing entities, veterans service organizations, faith-based organizations and others will be able to identify the programs for which they are eligible for funding.

The most creative and novel element of the SuperNOFA is that it places heavy emphasis on the coordination of activities assisted by HUD funds to provide (1) greater flexibility and responsiveness by potential grantees in meeting local housing and community development needs, and (2) greater

flexibility for eligible applicants to determine what HUD program resources best fit the community's needs. The SuperNOFA's promotion of coordination and comprehensive planning of HUD assistance reduces duplication in the delivery of services by organizations and communities, and allows for delivery of a wider more integrated array of services, thereby resulting in more efficient use of HUD funds to more effectively serve a greater number of those most in need of HUD assistance.

Changes Made in the SuperNOFA Process for FY 2001

The FY 2001 SuperNOFA includes more grant assistance funding than in previous years and therefore further increases the ability of applicants to consider and apply for funding under a wide variety of HUD programs. Funding availability announcements that are being added to the Fiscal Year 2001 SuperNOFA are the following:

- Assisted Living Conversion Program (ALCP) for Eligible Multifamily Projects
- Community Development Block Grants for Indian Tribes and Alaska Native Villages
- Early Doctoral Research Program
- Doctoral Research Program
- HUD Urban Scholars Fellowship Program (a post doctoral program)
- Family Self-Sufficiency (FSS) Program Coordinators Program
- Healthy Homes Demonstration and Education Program (replacing the Healthy Homes Initiative Program of Fiscal Year 2000)
- Healthy Homes Research Program (replacing the program for Research to Improve the Evaluation and Control of Residential Lead-Based Paint)
- Indian Housing Drug Elimination Program
- Service Coordinators in Multifamily Housing

With respect to the program NOFA for the Community Development Block Grants for Indian Tribes and Alaska Native Villages (ICDBG), a rule that amends the regulations for this program was published on January 17, 2001 (66

FR 4578) and takes effect on April 16, 2001.

Funding availability announcements that were part of the Fiscal Year 2000 SuperNOFA but for which there will be no funding availability announcements in FY 2001 are the following:

- Public Housing Drug Elimination Technical Assistance for Safety and Security
- Outreach and Assistance Training Grants

Organization of the SuperNOFA

The SuperNOFA is divided into two major sections. The General Section of the SuperNOFA describes the procedures and requirements applicable to all applications. The Programs Section of the SuperNOFA describes each program that is part of this SuperNOFA. For each program, the Programs Section describes the eligible applicants, eligible activities, factors for award, and any additional requirements or limitations that apply to the program.

Please read carefully both the General Section and the Programs Section of the SuperNOFA for the program(s) for which you are applying. Your careful reading will ensure that you apply for program funding for which your organization is eligible to receive funds and that you fulfill all the requirements for that program(s).

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs that are part of this SuperNOFA. HUD programs that provide assistance for, or complement, similar activities (for example, the Continuum of Care programs and CPD Technical Assistance programs) have a consolidated application that reduces the administrative and paperwork burden applicants would otherwise encounter in submitting a separate application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants.

As we did in last year's SuperNOFA, HUD is providing copies of the application forms in this publication. The standard forms, certifications and assurances applicable to all programs, or the great majority of programs, in the SuperNOFA follow the General Section as Appendix B. The forms and any additional certifications and assurances that are unique to the individual program will follow that program section of the SuperNOFA.

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. The SuperNOFA will identify, where necessary, the statutory requirements and differences applicable to the specific programs. *Please pay careful attention to the individual program requirements that are identified for each program. Note that not all applicants are eligible to receive assistance under all programs identified in this SuperNOFA.*

THE PROGRAMS OF THIS SUPERNOFA AND THE AMOUNT OF FUNDS ALLOCATED

The programs that are part of this SuperNOFA are identified in the chart below. The approximate available funds for each program are based on appropriated funds, and for some programs, the available funding includes funds already recaptured. In the event (1) HUD recaptures funds (either for programs for which funding already reflects recaptured funds or other programs for which funding does not reflect recaptured funds), or (2) other funds become available for any program, HUD reserves the right to increase the available funding amount for a program by the additional amounts that become available.

The chart also includes the application due date for each program, the OMB approval number for the information collection requirements contained in the specific program, and the Catalog of Federal Domestic Assistance (CFDA) number.

BILLING CODE 4210-32-P

HUD FY 2001 SUPERNOfA FUNDING

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
HOUSING AND COMMUNITY DEVELOPMENT			
Community Development Technical Assistance (TA)	Up to \$21.18		
Community Housing Development Organization (CHDO) TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$7.6 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOME TA CFDA No. 14.239 OMB Approval No.:2506-0166	Up to \$8 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
McKinney-Vento Act Homeless Assistance Programs TA CFDA No. 14.235 OMB Approval No.:2506-0166	Up to \$3 million	May 22, 2001	HUD Headquarters Room 7251, and one copy to appropriate local HUD Field Offices
HOPWA TA CFDA No. 14.241 OMB Approval No.:2506-0133	Up to \$2.580 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Offices
Community Development Block Grant Assistance	Up to \$71.3 million		
Community Development Block Grants for Indian Tribes and Alaska Native Villages CFDA No. 14.862 OMB Approval No.: 2577-0191	Up to \$71.3 million	May 23, 2001	HUD Area ONAP Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
<i>UNIVERSITY AND COLLEGE PARTNERSHIPS</i>			
University and College Programs	\$ 27.5 million		
Community Outreach Partnership Centers (COPC) CFDA No: 14511 OMB Approval No.:2528-0180	\$8 million	June 1, 2001	HUD Headquarters Room 7251
Historically Black Colleges and Universities (HBCUs) Program CFDA No.: 14.237 OMB Approval No.: 2506-0122	\$10 million	June 1, 2001	HUD Headquarters Room 7251 and one copy to local HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program CFDA No.: 14.514 OMB Approval No.:2528-0198	\$6.5 million	June 1, 2001	HUD Headquarters Room 7251
Alaska Native/Native Hawaiian Institutions Assisting Communities Program (AN/NHIAC) CFDA No.: 14.515 OMB Approval No.:2528-0206	\$3 million	June 1, 2001	HUD Headquarters Room 7251
<i>FAIR HOUSING OUTREACH, ENFORCEMENT AND HOUSING COUNSELING</i>			
Fair Housing and Housing Counseling Programs	\$34.05 million		
Fair Housing -- Private Enforcement Initiative (PEI) CFDA No.: 14.410 OMB Approval No.: 2539-0033	\$10.5 million	May 2, 2001	HUD Headquarters Room 5224
Fair Housing -- Education and Outreach Initiative (EOI) CFDA No.: 14.409 OMB Approval No.: 2539-0033	\$3.9 million	May 2, 2001	HUD Headquarters Room 5224

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Fair Housing Organizations Initiative (FHOI) CFDA No.: 14.413 OMB Approval No.: 2539-0033	\$2.1 million	May 2, 2001	HUD Headquarters Room 5224
Housing Counseling -- Local Housing Counseling Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$6.6 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
Housing Counseling -- National, Regional, and Multi-State Intermediaries CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$9.95 million	May 3, 2001	HUD Headquarters Room 9166
Housing Counseling -- State Housing Finance Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$1 million	May 3, 2001	Appropriate HUD Homeownership Center (HOC)
<i>HEALTHY HOMES AND LEAD HAZARD CONTROL</i>			
Healthy Homes and Lead Hazard Control Programs	\$66 million		
Lead-Based Paint Hazard Control Program CFDA No.: 14.901 OMB Approval No.: 2539-0015	\$59 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
Healthy Homes Research CFDA No.: 14.901 OMB Approval No.: 2539-0010	\$1.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Healthy Homes Demonstration and Education Program CFDA No.: 14.900 OMB Approval No.: 2539-0015	\$5.5 million	May 17, 2001	Postal Service: HUD Headquarters, Office of Healthy Homes and Lead Hazard Control, Room P3206
<i>PUBLIC AND INDIAN HOUSING REVITALIZATION AND DEMOLITION</i>			
Revitalization and Demolition Programs	\$565 million		
HOPE VI Revitalization Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$490 million	June 22, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
HOPE VI Demolition Grants CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$75 million	July 10, 2001	HUD Headquarters Room 4130 and one copy to appropriate local HUD Field Office
<i>DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING</i>			
Drug Elimination Programs	\$49.15 million		
Public Housing Drug Elimination - Technical Assistance (DETAP) CFDA No.: 14.854 OMB Control No.: 2577-0124	\$900,000	July 27, 2001	HUD Headquarters Room 4206 and one copy to appropriate local HUD Field Office or Area ONAP Office
Indian Housing Drug Elimination Program CFDA No.: 14.854 OMB Control No.: 2577-0124	\$12 million	April 24, 2001	IHDE-IRC P.O. Box 14970 Silver Spring, MD

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Drug Elimination New Approach Anti-Drug Program (Formerly Safe Neighborhood Grant) CFDA No.: 14.854 OMB Control No.: 2577-0124	\$20 million	June 19, 2001	Appropriate Multifamily Hub or Program Center or Area ONAP Office
Drug Elimination Grants for Multifamily Low Income Housing CFDA No.: 14.193 OMB Approval No.: 2502-0476	\$16.25 million	May 23, 2001	Appropriate Multifamily Hub or Program Center
<i>ECONOMIC DEVELOPMENT AND EMPOWERMENT</i>			
Economic and Empowerment Programs	\$187.6 million		
Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$10.7 million	July 6, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Brownfields Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$25 million	May 22, 2001	HUD Headquarters Room 7251 and one copy to appropriate local HUD Field Office
Self-Help Homeownership Opportunity Program (SHOP) CFDA No.: 14.247 OMB Approval No.: N/A	\$20 million	May 29, 2001	HUD Headquarters Room 7251
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2506-0142	\$52.9 million	May 30, 2001	HUD Headquarters Room 7255 and one copy to appropriate local HUD Field Office

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
ROSS for Resident Management and Business Development CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$6 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Capacity Building and Conflict Resolution CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$5 million	May 24, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Resident Service Delivery Models CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$24 million	June 26, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
ROSS for Service Coordinator Renewals CFDA No.: 14.870 OMB Approval No.: 2577-0211	\$20 million	June 28, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rural Housing and Economic Development Program CFDA No.: 14.250 OMB Approval No.: 2506-0169	\$24 million	April 6, 2001	HUD Headquarters Room 7255

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
TARGETED HOUSING, HOMELESS AND SECTION 8 VOUCHER ASSISTANCE			
Targeted Housing and Homeless Assistance Programs	\$1591.8 million		
Continuum of Care Homeless Assistance - Supportive Housing CFDA No.: 14.235 - Shelter Plus Care CFDA No.: 14.238 - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) CFDA No.: 14.249 OMB Approval No.: 2506-0112	\$850 million	May 31, 2001	HUD Headquarters Room 7270 and one copy to appropriate local HUD Field Offices
Housing Opportunities for Persons with AIDS CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$25.5 million	April 24, 2001 (for renewals) June 13, 2001 (new requests)	HUD Headquarters Room 7251 and two copies to appropriate local HUD Field Office
Section 202 Supportive Housing for the Elderly CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$495.9 million	May 25, 2001	Appropriate local HUD Multifamily HUB or Multifamily Program Center
Section 811 Supportive Housing for Persons with Disabilities CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$121.2 million	May 25, 2001	Appropriate local HUD Multifamily Hub or Multifamily Program Center
Assisted Living Conversion Program for Eligible Multifamily Projects CFDA No.: 14.314 OMB Approval No.: 2502-0542	\$75 million	June 21, 2001	Appropriate Multifamily Hub Office
Service Coordinators in Multifamily Housing CFDA No.: 14.191 OMB Approval No.: 2577-0198	\$24.2	June 21, 2001	Appropriate local HUD Multifamily Hub Office or Multifamily Program Center
Section 8 Housing Vouchers for Persons with Disabilities	\$139.1 million		

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
Mainstream Housing Opportunities for Persons with Disabilities CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$54.1 million	July 20, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities Related to Certain Types of Section 8 Project-Based Developments and Sections 202, 221(d) and 236 Developments CFDA No.: 14.857 OMB Approval No.: 2506-0169	\$20 million	June 15, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Assistance for Non-Elderly Persons with Disabilities in Support of Designated Housing Plans CFDA No.: 14.857 OMB Approval No.: 2577-0169	\$20 million	May 16, 2001 (for submittal of Designated Housing Plans only) July 24, 2001 (for submittal of entire application)	Special Applications Ctr, Room 2401 77 West Jackson Blvd, Chicago, IL Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC
Rental Certificate Housing Choice Voucher Family Self-Sufficiency (FSS) Program Coordinators CFDA No.: 14.855 & 14.857 OMB Approval No.: 2577-0198	\$45 million	April 25, 2001	Grants Mgmt Ctr, Suite 800 501 School Street Washington, DC

Program Name	Funding Available (funding is approximate)	Due Date	Submission Location and Room
OTHER EDUCATIONAL PROGRAMS			
Doctoral Education Programs	Up to 1.3 million		
Early Doctoral Student Research Grant Program CFDA No.: 14.517 OMB Approval No.: Pending	\$150,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
Doctoral Dissertation Research Grant Program CFDA No.: 14.516 OMB Approval No.: 2528-0213	\$600,000	April 26, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850
HUD Urban Scholars Fellowship Program CFDA No.: 14.518 OMB Approval No.: 2528-0214	\$550,000	June 5, 2001	University Partnerships Clearinghouse, Aspen Systems 2277 Research Blvd Rockville, MD 20850

Paperwork Reduction Act Statement. The information collection requirements in this SuperNOFA have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520). The chart shown above provides the OMB approval number for each program that is part of this SuperNOFA. Where the chart notes that an OMB number is pending, this means that HUD has submitted the information to OMB to obtain an approval number and HUD's request for the number is pending. As soon as HUD receives the approval number, the number will be published in the **Federal Register** and provided to the SuperNOFA Information Center. Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

GENERAL SECTION OF THE SUPERNOFA

I. Authority; Purposes of the FY 2001 SuperNOFA; Funding Amount; Eligible Applicants and Eligible Activities

(A) *Authority.* HUD's authority for making funding under this SuperNOFA is the Fiscal Year 2001 Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 2001 (Pub.L. 106–377, approved October 27, 2000) (FY 2001 HUD Appropriations Act). Generally, the authority is not repeated in the individual program sections of this SuperNOFA. The authority provision of the program sections identify additional laws and regulations that authorize the requirements listed for the funding competitions that make up this SuperNOFA.

(B) *Purposes.* The purposes of this SuperNOFA are to:

(1) *Make funding available to empower communities and residents.* The funding made available by this SuperNOFA will assist community leaders and residents, particularly low- and moderate-income residents, in using HUD funds to develop viable communities and provide decent housing for all citizens, without discrimination.

(2) *Simplify the application process for funding under HUD programs.* For the majority of funding that is part of this year's SuperNOFA, the SuperNOFA continues to provide a single, uniform set of rating factors and submission requirements. This year's SuperNOFA also allows, as did last year's, for you, the applicant, to apply for more than

one program with a single application. This year's SuperNOFA also includes funding for the Housing Choice Voucher Program that is available on a first come, first serve basis.

(3) *Promote comprehensive approaches to housing and community development.* Through the SuperNOFA process, HUD encourages you, the applicant, to focus on the interrelationships that exist in a community and in HUD's funding programs, and to build community-wide efforts that coordinate the resources of multiple applicants and programs. To successfully address community needs and solve community problems, and to take advantage of existing resources, HUD encourages members of a community to join together and pool all available resources in a common, coordinated effort. By making all of HUD's competitive funding available in one document, HUD allows you, the applicant, to be able to relate the activities proposed for funding under this SuperNOFA to the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice.

(C) *Funding Available.* As noted in the Introduction Section to the SuperNOFA, the HUD programs that are part of this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

(D) *Restrictions on the Use of HUD Funds in Support of the Sale of Tobacco Products.* Section 211 of the FY 2001 HUD Appropriations Act requires that funds appropriated to HUD may not be used to construct, operate, or otherwise benefit a facility or facilities with a designated portion of that facility which sells or intends to sell predominantly cigarettes or other tobacco products. The Act defines the predominant sale of cigarettes or other tobacco products to mean sales representing more than 35 percent of the annual total in-store, non-fuel sales.

(E) *Eligible Applicants and Eligible Activities.* The Programs Section of the SuperNOFA describes the eligible applicants and eligible activities for each program.

II. Requirements and Procedures Applicable to All Programs

Except as may be modified in the Programs Section of this SuperNOFA, or as noted within the specific provisions of this Section II, the requirements, procedures and principles listed below apply to all programs that are part of this SuperNOFA. Please be sure to read the Programs Section of the SuperNOFA

for additional requirements or information.

(A) *Statutory Requirements.* To be eligible for funding under this SuperNOFA, you, the applicant, must meet all statutory and regulatory requirements applicable to the program or programs for which you are seeking funding. If you need copies of the program regulations, they are available from the SuperNOFA Information Center or through the Internet at the HUD web site located at <http://www.hud.gov>. Among the reasons that HUD may find an application ineligible to receive further funding consideration is if the activities or projects proposed in the application are not eligible activities and projects. In addition (with the exception of the Section 202 and Section 811 programs) HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

(B) *Threshold Requirements.* (1) *Compliance with Fair Housing and Civil Rights Laws.* With the exception of Federally recognized Indian tribes and their instrumentalities, all applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the nondiscrimination provisions enumerated at 24 CFR 1000.12.

If you, the applicant—

(a) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(b) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(c) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109,—

HUD will not rate and rank your application under this SuperNOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(2) *Other Threshold Requirements.* The program section for the funding for which you are applying may specify other threshold requirements.

Additional threshold requirements may be identified in the discussion of "eligibility" requirements in the program section.

(C) *Additional Nondiscrimination Requirements.* You, the applicant and your subrecipients, must comply with the Americans with Disabilities Act of 1990 (42 U.S.C. 1201 *et seq.*), and Title IX of the Education Amendments Act of 1972 (20 U.S.C. 1681 *et seq.*).

(D) *Affirmatively Furthering Fair Housing.* Unless otherwise specified in the Programs Section of this SuperNOFA, if you are a successful applicant, you will have a duty to affirmatively further fair housing. Again, except as may be provided otherwise in the Programs Section of this SuperNOFA, you, the applicant, should include in your application or work plan the specific steps that you will take to:

(1) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, you, the applicant, have a duty to carry out the specific activities provided in your responses to the SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the Programs Section of this SuperNOFA for further information.

(E) *Economic Opportunities for Low and Very Low-Income Persons (Section 3).* Certain programs in this SuperNOFA require recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E of this part. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low-and very low-income persons. As noted in the Programs Section of this SuperNOFA, Section 3 is applicable to the following programs:

- Community Development Block Grant Program for Indian Tribes and Alaska Native Villages;
- Historically Black Colleges and Universities (HBCU);

- Hispanic-Serving Institutions Assisting Communities (HSIAC);
 - Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC)
 - Lead-Based Paint Hazard Control;
 - Healthy Homes Demonstration and Education Program;
 - Healthy Homes Research Program;
 - HOPE VI Public Housing Revitalization and Demolition;
 - Indian Housing Drug Elimination Program;
 - Public Housing Drug Elimination Program—New Approach Anti-Drug Program
 - Resident Opportunities and Self-Sufficiency Program
 - Economic Development Initiative (EDI);
 - Brownfields Economic Development Initiative (BEDI);
 - Self-Help Homeownership Opportunity Program (SHOP);
 - Youthbuild Program;
 - Continuum of Care Homeless Assistance Programs;
 - Housing Opportunities for Persons with AIDS (HOPWA);
 - Section 202 Supportive Housing for the Elderly Program;
 - Assisted Living Conversion Program;
 - Section 811 Supportive Housing for Persons with Disabilities Program;
- (F) *Relocation.* Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing governmentwide regulation at 49 CFR part 24. The relocation requirements of the URA and the governmentwide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of acquisition, rehabilitation or demolition for an activity undertaken with HUD assistance.

(G) *Forms, Certifications and Assurances.* You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the Programs

Section specify otherwise. Also, the Programs Section may specify additional forms, certifications, assurances or other information that may be required for a particular program in this SuperNOFA.

As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- Standard Form for Application for Federal Assistance (SF-424) (which includes civil rights/fair housing certification);
- Federal Assistance Funding Matrix and Certifications, HUD-424M;
- Standard Form for Budget Information—Non-Construction Programs (SF-424A) or
- Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;
- Standard Form for Assurances—Non-Construction Programs (SF-424B) or
- Standard Form for Assurances—Construction Programs (SF-424D), as applicable; Drug-Free Workplace Certification (HUD-50070);
- Certification of Payments to Influence Federal Transaction (HUD-50071) and if engaged in lobbying, the Disclosure Form Regarding Lobbying (SF-LLL); (Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are not required to submit this certification. Tribes and TDHEs established under State law are required to submit this certification.)
- Applicant/Recipient Disclosure/Update Report (HUD-2880);
- Certification Regarding Debarment and Suspension (HUD-2992). This is the certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.);
- Certification of Consistency with EZ/EC Strategic Plan (HUD-2990);
- Certification of Consistency with the Consolidated Plan (HUD-2991) if applicable;
- Acknowledgment of Application Receipt (HUD-2993);
- Client Comments and Suggestions (HUD 2994)

Copies of these standard forms follow this General Section of the SuperNOFA. Copies of forms that are particular to an

individual program, follow the funding information for that program.

Also included in the Appendix B to the General Section is the Funding Application for the Section 8 Housing Choice Voucher Program (HUD 52515). Note that Forms SF-424A and SF-424C ask for information which is similar to the same information that is required by form HUD 4123-Cost Summary which is listed as a required form under the ICDBG program section of this SuperNOFA and which is a required application for that program. Also note that there are assurances separate from SF-424B and 424D for the ICDBG program which are specific to that program.

(H) *OMB Circulars and Governmentwide Regulations Applicable to Grant Programs.* Certain OMB circulars also apply to programs in this SuperNOFA. The policies, guidance, and requirements of: OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments); OMB Circular A-21 (Cost Principles for Education Institutions) OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations); OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations); and the regulations in 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments)—may apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 2001 HUD Appropriations Act, other Federal statutes or the provisions of this SuperNOFA. Compliance with additional OMB Circulars or governmentwide regulations may be specified for a particular program in the Programs Section of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 20503, telephone (202) 395-7332 (this is not a toll free number) or from the website at <http://whitehouse.gov/wh/eop/omb/html/circulars>.

(I) *Environmental Requirements.* If you become a grantee under one of the programs in this SuperNOFA that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, leasing,

repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or

(2) For programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the Programs Section of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

(J) *Conflicts of Interest.* If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information if applicable: how the selection or non-selection of any applicant under this SuperNOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or how the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this SuperNOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

(K) *Accessible Technology.* The Rehabilitation Act Amendments of 1998 apply to all electronic information technology (EIT) used by a grantee for

transmitting, receiving, using, or storing information to carry out the responsibilities of any federal grant awarded. It includes, but is not limited to, computers (hardware, software, wordprocessing, email and web pages) facsimile machines, copiers and telephones. Recipients of HUD funds when developing, procuring, maintaining or using EIT must ensure that the EIT allows (1) employees with disabilities to have access to and use information and data that is comparable to the access and use of data by employees who do not have disabilities; and (2) members of the public with disabilities seeking information or service from a grantee must have access to and use of information and data and comparable to the access and use of data by members of the public who do not have disabilities. If these standards impose on a funding recipient, they may provide an alternative means to allow the individual to use the information and data. However, no grantee will be required to provide information services to a person with disabilities at any location other than the location at which the information services is generally provided.

III. Application Selection Process

(A) *Rating Panels.* To review and rate your applications, HUD may establish panels. These panels may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) *Rating.* HUD will evaluate and rate all applications for funding that meet the threshold requirements and rating factors for award described in this SuperNOFA. The rating of you, as the "applicant," or of your organization, "the applicant's organization and staff," for technical merit or threshold compliance will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) *Ranking.* HUD will rank applicants within each program (or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA). HUD will rank applicants only against other applicants that applied for the same program funding. Where there are set-asides within a program competition, you, the applicant, will compete against only those applicants in the same set-aside competition.

(B) *Threshold Requirements.* HUD will review your application to determine whether it meets all of the threshold requirements described in

Section II(B), above. Only if your application meets all of the threshold requirements will it be eligible to be rated and ranked.

(C) *Factors For Award Used To Evaluate and Rate Applications.* For each program that is part of this SuperNOFA, the points awarded for the rating factors total 100. Depending upon the program for which you the applicant seek funding, the program may provide for up to four bonus points as provided in paragraphs (1) and (2) of this Section III(C).

(1) *Bonus Points.* The SuperNOFA provides for the award of up to two bonus points for eligible activities/ projects that the applicant proposes to be located in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs), or Strategic Planning Communities and serve the residents of these federally designated areas, and are certified to be consistent with the strategic plan of these federally designated areas. (For ease of reference in the SuperNOFA, these federally designated areas are collectively referred to as "EZs/ECs" and residents of these federally designated areas as EZ/EC residents.)¹ The individual funding announcement will indicate if the bonus points are available for that funding. The application kit contains a certification which must be completed for the applicant to be considered for EZ/EC bonus points. A list of EZs, ECs, EECs and Strategic Planning Communities is attached to this General Section of the SuperNOFA as Appendix A-2 and is also available from the SuperNOFA Information Center, through the HUD web site at <http://www.hud.gov/grants>.

In the BEDI competition, two bonus points are available for federally designated Brownfields Show Case Communities. (Please see BEDI section of this SuperNOFA for additional information). A listing of the federally designated EZs, ECs, and Enhanced ECs and Brownfields Showcase Communities is available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.hud.gov/grants>.

¹ In December 1994, 72 urban areas and 33 rural communities were designated as Empowerment Zones or Enterprise Communities. These designated areas receive more than \$1.5 billion in performance grants and more than \$2.5 billion in tax incentives. The Taxpayers Relief Act of 1997 established a second round of designations for 15 new Empowerment Zones. Round II designees were announced in December 1998. Strategic Planning Communities are HUD designations that ranked competitively in the Round II competition but were not selected for EZ designation.

(2) *Court-Ordered Consideration.* For any application submitted by the City of Dallas, Texas, for funds under this SuperNOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section III(C)(2) is limited to applications submitted by the City of Dallas.)

(3) *The Five Standard Rating Factors.* The majority of programs in this SuperNOFA use the five rating factors described below. Additional details about the five rating factors listed below, and the maximum points for each factor, are provided in the Programs Section of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the Programs Section of the SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific HUD program, however, HUD may have modified these factors to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard factors for award, except as modified in the program area section are:

- Factor 1: Capacity of the Applicant and Relevant Organizational Staff
- Factor 2: Need/Extent of the Problem
- Factor 3: Soundness of Approach
- Factor 4: Leveraging Resources
- Factor 5: Comprehensiveness and Coordination

The Continuum of Care Homeless Assistance Programs have only two factors that receive points: Need and Continuum of Care.

(D) *Negotiation.* After HUD has rated and ranked all applications and has made selections, HUD may require, depending upon the program, that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or

a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

(E) *Adjustments to Funding.*

(1) HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of the funds and to ensure that the purposes of a specific program are met.

(2) HUD will not fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements; which does not meet the requirements of this SuperNOFA or which may be duplicative of other funded programs or activities from previous years' awards or other selected applicants. Only the eligible portions of your application (including non-duplicative portions) may be funded.

(3) If funds remain after funding the highest ranking applications, HUD may fund all or part of the next highest ranking application in a given program. If you, the applicant, turn down the award offer, HUD will make the same determination for the next highest ranking application. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program where there is a balance of funds.

(4) In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

(F) *Performance and Compliance Actions of Grantees.* HUD will measure and address the performance and compliance actions of grantees in accordance with the applicable standards and sanctions of their respective programs.

IV. Application Submission Requirements

As discussed in the Introduction Section of this SuperNOFA, part of the simplification of this funding process is to reduce the duplication of effort that has been required of applicants in the past. Before the SuperNOFA process, many of HUD's applicants were required to complete and submit similar applications for HUD funded programs. As the Program Chart above shows, the FY 2001 SuperNOFA provides, as did the previous SuperNOFAs, for consolidated applications for several of

the programs for which funding is available under this SuperNOFA.

V. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any rating factors. In order not to unreasonably exclude applications from being rated and ranked, HUD may, however, contact applicants to ensure proper completion of the application and will do so on a uniform basis for all applicants. *Examples* of curable (correctable) technical deficiencies include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. (If the due date falls on a Saturday, Sunday, or Federal holiday, your correction must be received by HUD on the next day that is not a Saturday, Sunday, or Federal holiday.) If your deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding. (Note that the Sections 202 and 811 Programs provide for appeal of rejection of an application on technical deficiency. Please see the Programs Sections for these programs for additional information and instructions.)

VI. Promoting Comprehensive Approaches to Housing and Community Development

(A) *General.* HUD believes the best approach for addressing community problems is through a community-based process that provides a comprehensive response to identified needs. This Section VI of the General Section of the SuperNOFA describes important initiatives that applicants should be aware of.

(B) *Linking Program Activities With AmeriCorps.* You are encouraged to link your proposed activities with

AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000, or visit the AmeriCorps website at www.cns.gov/ameriCorps.

(C) *Linking Program Activities with USDA.* In this year's SuperNOFA, HUD is working with the Department of Agriculture (USDA) to provide technical assistance to public housing authorities to develop a natural resource stewardship program to enhance the natural environment through activities such as tree planting, creating green spaces in areas devoid of vegetation and protecting areas from erosion and storm water runoff. Further information about this initiative can be found on the U.S. Forest Service website at www.fs.us/research/rvur/urban/urbanforest.html.

(D) *Encouraging Visitability in New Construction and Substantial Rehabilitation Activities.* In addition to applicable accessible design and construction requirements, you are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the Uniform Federal Accessibility Standards (UFAS) are available from the SuperNOFA Information Center (1-800-HUD-8929 or 1-800-HUD-2209 (TTY)) and also from the Office of Fair Housing and Equal Opportunity, U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877 8399 (Federal Information Relay Service).

(E) *Encouraging Universal Design.* Universal design is the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design. The intent of universal design is to simplify life for everyone by making products, communications and the built

environment more usable by as many people as possible at little or no extra cost. Universal design benefits people of all ages and abilities. In addition to any applicable required accessibility features under section 504 of the Rehabilitation Act of 1973 or the design and construction requirements of the Fair Housing Act, the Department encourages applicants to incorporate the principles of universal design when developing housing, community facilities, electronic communication mechanisms, or when communicating with community residents at public meetings or events.

(F) *Developing Healthy Homes.* HUD's Healthy Homes Initiative is one of the initiatives developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities (to the extent eligible under specific programs) that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to, the following: educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others; incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, proper ventilation and moisture control to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can trigger asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323, and information is also available at the following website—www.hud.gov:80/health/safehome.html.

(G) *Participation in PATH.* If you are applying for funds that may be utilized for construction or rehabilitation, HUD encourages participation in Partnership for Advancing Technology in Housing (PATH). PATH's goal is to achieve dramatic improvement in the quality of American housing by the year 2010. PATH encourages leaders from the home building, product manufacturing, insurance and financial industries and representatives from federal agencies dealing with housing issues to work together to spur housing design and construction innovations. PATH has a

FY 2001 budget of \$10 million. PATH will provide technical support in design and cost analysis of advanced technologies to be incorporated in project construction.

Applicants should see www.pathnet.org on the Internet for more information, the list of technologies, latest PATH Newsletter, results from field demonstrations and PATH projects. Applicants are encouraged to employ PATH technologies to exceed prevailing national building practices by: reducing costs; improving durability; increasing energy efficiency; improving disaster resistance; and reducing environmental impact.

HUD's objective is to select projects funded under this SuperNOFA which demonstrate high potential opportunities for application of PATH technologies. HUD will provide technical assistance in the form of architectural, engineering and financial analysis to incorporate the specific technologies appropriate to the type of construction and climate. More information about PATH is available at the following website—www.pathnet.org/about/about.html.

(H) *Bridging the Digital Divide*. Bridging the Digital Divide is an initiative whose objective is to provide access to computers to low and moderate income families and children who do not have access and therefore may be disadvantaged with respect to education, work and training opportunities. HUD encourages applicants to incorporate education and job training opportunities through initiatives such as HUD's Neighborhood Networks and Twenty/20 Education communities in their programs.

(1) *Neighborhood Networks*. The Neighborhood Networks Initiative enhances the self-sufficiency, employability and economic self-reliance of low-income families and the elderly living in HUD insured and HUD assisted properties by providing them with on-site access to computer and training resources.

(2) *The Twenty/20 Education Communities Initiative*. This initiative (formerly known as Campus of Learners) is designed to transform public housing into safe and livable communities where families undertake training in new telecommunications and computer technology and partake in educational opportunities and job training initiatives.

(I) *Bridging the Gap Initiative*. Bridging the Gap is a HUD initiative aimed at expanding economic and skills building opportunities offered through registered apprenticeship programs in

HUD assisted construction related and maintenance activities. Apprenticeship programs have a long history of providing structured, highly competent, safe and comprehensive occupational training which produces highly qualified journey level workers. Through this initiative, HUD seeks to encourage and promote the use of apprenticeship programs in programs sponsored with HUD funds and to ensure the beneficiaries of such apprenticeship programs are HUD's client community of public housing and low-and moderate-income residents of our nation's communities.

VII. Findings and Certifications

(A) *Environmental Impact*. A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR part 50 that implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410-0500.

(B) *Executive Order 13132, Federalism*. Executive Order 13132 (entitled "Federalism") prohibits, to the extent practicable and permitted by law, an agency from promulgating policies that have federalism implications and either impose substantial direct compliance costs on State and local governments and are not required by statute, or preempt State law, unless the relevant requirements of section 6 of the Executive Order are met. This SuperNOFA does not have federalism implications and does not impose substantial direct compliance costs on State and local governments or preempt State law within the meaning of the Executive Order.

(C) *Prohibition Against Lobbying Activities*. You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you

must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.

(D) *Section 102 of the HUD Reform Act; Documentation and Public Access Requirements*. Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) *Documentation and public access requirements*. HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) *Disclosures*. HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (update information also reported on Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports—both applicant disclosures and updates—will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 5.

(3) *Publication of Recipients of HUD Funding*. HUD's regulations at 24 CFR

4.7 provide that HUD will publish a notice in the **Federal Register** to notify the public of all decisions made by the Department to provide:

(i) Assistance subject to section 102(a) of the HUD Reform Act; or

(ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(E) *Section 103 HUD Reform Act.*

HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, subpart B, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD

employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or

Headquarters counsel for the program to which the question pertains.

VIII. The FY 2001 SuperNOFA Process and Future HUD Funding Processes

Each year, HUD strives to improve its SuperNOFA. The FY 2001 SuperNOFA was revised based on comments received during the FY 2000 funding process. HUD continues to welcome comments and feedback from applicants and other members of the public on how HUD may further improve its competitive funding process.

The description of programs for which funding is available under this SuperNOFA follows this General Section and its appendices.

Dated: February 15, 2001.

Mel Martinez,
Secretary.

APPENDIX A-1.—LIST OF HUD FIELD OFFICES

Jurisdiction	Office	Address and phone numbers
NEW ENGLAND	Boston, MA	HUD—Boston Office, O'Neil Federal Building, 10 Causeway Street, Rm. 375, Boston, MA 02222-1092, OFC PHONE (617) 565-5236
	Hartford, CT	HUD—Hartford Office, One Corporate Center, Hartford, CT 06103-3220, OFC PHONE (860) 240-4844
	Manchester, NH	HUD—Manchester Office, Norris Cotton Federal Bldg., 275 Chestnut Street, Manchester, NH 03101-2487, OFC PHONE (603) 666-7510
	Providence, RI	HUD—Providence Office, 10 Weybosset Street, Sixth Floor, Providence, RI 02903-2808, OFC PHONE (401) 528-5352
	Bangor, ME	HUD—Bangor Office, 202 Harlow Street—Chase Bldg., Suite 101, Bangor, ME 04401-4925, OFC PHONE (207) 945-0468
	Burlington, VT	HUD—Burlington Office, Room 237—Federal Building, 11 Elmwood Avenue, PO Box 879, Burlington, VT 05401-0879, OFC PHONE (802) 951-6290
NY/NEW JERSEY	New York, NY	HUD—New York Office, 26 Federal Plaza—Suite 3541, New York, NY 10278-0068, OFC PHONE (212) 264-4377
	Buffalo, NY	HUD—Buffalo Office, Lafayette Court, 5th Floor, 465 Main Street, Buffalo, NY 14203-1780, OFC PHONE (716) 551-5755
	Camden, NJ	HUD—Camden Office, 2nd Floor—Hudson Bldg., 800 Hudson Square, Camden, NJ 08102-1156, OFC PHONE (856) 757-5088
	Newark, NJ	HUD—Newark Office—13th Floor, One Newark Center, Newark, NJ 07102-5260, OFC PHONE (973) 622-7619
	Albany, NY	HUD—Albany Office, 52 Corporate Circle, Albany, NY 12203-5121, OFC PHONE (518) 464-4200
MID-ATLANTIC	Philadelphia, PA	HUD Philadelphia Office, The Wanamaker Building, 100 Penn Square, East, Philadelphia, PA 19107-3380, OFC PHONE (215) 656-0600
	Baltimore, MD	HUD Baltimore Office, 5th Floor, 10 South Howard Street, Baltimore, MD 21201-2505, OFC PHONE (410) 962-2520
	Pittsburgh, PA	HUD Pittsburgh Office, 339 Sixth Avenue—Sixth Floor, Pittsburgh, PA 15222-2515, OFC PHONE (412) 644-5945
	Washington, DC	(Office Temporarily covered), HUD Washington, DC Office, Suite 300, 820 First Street, NE., Washington, DC 20002-4205, OFC PHONE (202) 275-9200
	Richmond, VA	HUD Richmond Office, 3600 West Broad Street, Richmond, VA 23230-4920, OFC PHONE (804) 278-4500
	Charleston, WV	HUD—Charleston Office, 405 Capitol Street, Suite 708, Charleston, WV 25301-1795, OFC PHONE (304) 347-7036
	Wilmington, DE	HUD—Delaware State Office, One Rodney Square, 920 King Street, Suite 404, Wilmington, DE 19801, OFC PHONE (302) 573-6300
	Atlanta, GA	HUD—Atlanta Office, 40 Marietta Street—Five Points Plaza, Atlanta, GA 30303-2806, OFC PHONE (404) 331-4111
SOUTHEAST/CARRIBEAN	Birmingham, AL	HUD—Birmingham Office, Medical Forum Building, 950 22nd St., North, Suite 900, Birmingham, AL 35203-5301, OFC PHONE (205) 731-2630
	Louisville, KY	HUD—Louisville Office, 601 West Broadway, PO Box 1044, Louisville, KY 40201-1044, OFC PHONE (502) 582-5251

APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers
	Jackson, MS	HUD—Jackson Office, McCoy Federal Building, 100 W. Capitol Street, Room 910, Jackson, MS 39269-1096, OFC PHONE (601) 965-4700
	Memphis, TN	HUD—Memphis Office, 200 Jefferson Avenue, Suite 1200, Memphis, TN 38103-2335, OFC PHONE (901) 544-3403
	Nashville, TN	HUD—Nashville Office, 235 Cumberland Bend Drive, Suite 200, Nashville, TN 37228-1803, OFC PHONE (615) 736-5213
	Jacksonville, FL	HUD—Jacksonville Office, 301 West Bay Street, Suite 2200, Jacksonville, FL 32202-5121, OFC PHONE (904) 232-2627
	Miami, FL	HUD—Florida State Office, 909 SE First Avenue, Miami, FL 33131, OFC PHONE (305) 536-5676
	Greensboro, NC	HUD—Greensboro Office, Koger Building, 2306 West Meadowview Road, Greensboro, NC 27407-3707, OFC PHONE (336) 547-4001, 4002, 4003
	San Juan, PR	HUD—Caribbean Office, 171 Carlos E. Chardon Avenue, San Juan, PR 00918-0903, OFC PHONE (787) 766-5201
	Columbia, SC	HUD—Columbia Office, 1835 Assembly Street, Columbia, SC 29201-2430, OFC PHONE (803) 765-5592
	Knoxville, TN	HUD—Knoxville Office, 710 Locust Street, SW, Knoxville, TN 37902-2526, OFC PHONE (423) 545-4384
	Orlando, FL	HUD—Orlando Office, 3751 Maguire Boulevard, Room 270, Orlando, FL 32803-3032, OFC PHONE (407) 648-6441
	Tampa, FL	HUD—Tampa Office, 500, Zack St., #402, Tampa, FL 33602-3945, OFC PHONE (813) 228-2431
MIDWEST	Chicago, IL	HUD—Chicago Office, Ralph Metcalfe Federal Building, 77 West Jackson Boulevard, Chicago, IL 60604-3507, OFC PHONE (312) 353-5680
	Detroit, MI	HUD—Detroit Office, 477 Michigan Avenue, Detroit, MI 48226-2592, OFC PHONE (313) 226-7900
	Indianapolis, IN	HUD—Indianapolis Office, 151 North Delaware Street, Suite 1200, Indianapolis, IN 46204-2526, OFC PHONE (317) 226-7034
	Grand Rapids, MI	HUD—Grand Rapids Office, Trade Center Building, 50 Louis Street, N.W., Grand Rapids, MI 49503-2648, OFC PHONE (616) 456-2125
	Minneapolis, MN	HUD—Minneapolis Office, 220 Second Street, South, Minneapolis, MN 55401-2195, OFC PHONE (612) 370-3000
	Cincinnati, OH	HUD—Cincinnati Office, 525 Vine Street, Suite 700, Cincinnati, OH 45202-3188, OFC PHONE (513) 684-2967
	Cleveland, OH	HUD—Cleveland Office, 1350 Euclid Avenue, Suite 500, Cleveland, OH 44115-1815, OFC PHONE (216) 522-4058
	Columbus, OH	(Office Temporarily Covered), HUD—Columbus Office, 200 North High Street, Columbus, OH 43215-2499, OFC PHONE (614) 469-2540
	Milwaukee, WI	HUD—Milwaukee Office, 310 West Wisconsin Avenue, Room 1380, Milwaukee, WI 53203-2289, OFC PHONE (414) 297-3214
	Flint, MI	HUD—Flint Office, 1101 S. Saginaw Street, North Building, Flint, MI 48502-1953, OFC PHONE (810) 766-5082
	Springfield, IL	HUD—Springfield Office, 320 West Washington, 7th Floor, Springfield, IL 62707, OFC PHONE (217) 492-4120
SOUTHWEST	Fort Worth, TX	HUD—Fort Worth Office, 801 Cherry Street, PO Box 2905, Ft. Worth, TX 76113-2905, OFC PHONE (817) 978-5965
	Dallas, TX	HUD—Dallas Office, 525 Griffin Street, Room 860, Dallas, TX 75202-5007, OFC PHONE (214) 767-8300
	Albuquerque, NM	HUD—Albuquerque Office, 625 Silver Avenue SW, Suite 100, Albuquerque, NM 87102-3185, OFC PHONE (505) 346-6463
	Houston, TX	HUD—Houston Office, 2211 Norfolk, #200, Houston, TX 77098-4096, OFC PHONE (713) 313-2274
	Lubbock, TX	HUD—Lubbock Office, 1205 Texas Avenue, Rm. 511, Lubbock, TX 79401-4093, OFC PHONE (806) 472-7265
	San Antonio, TX	HUD—San Antonio Office, 800 Dolorosa, San Antonio, TX 78207-4563, OFC PHONE (210) 475-6806
	Little Rock, AR	HUD—Little Rock Office, 425 West Capitol Avenue #900, Little Rock, AR 72201-3488, OFC PHONE (501) 324-5401
	New Orleans, LA	HUD—New Orleans Office, Hale Boggs Bldg.—501 Magazine Street, 9th Floor, New Orleans, LA 70130-3099, OFC PHONE (504) 589-7201
	Shreveport, LA	HUD—Shreveport Office, 401 Edwards Street, Rm. 1510, Shreveport, LA 71101-3289, OFC PHONE (318) 676-3440
	Oklahoma City, OK	HUD—Oklahoma City Office, 500 W. Main Street, Suite 400, Oklahoma City, OK 73102-2233, OFC PHONE (405) 553-7500
	Tulsa, OK	HUD—Tulsa Office, 50 East 15th Street Tulsa, OK 74119-4030, OFC PHONE (918) 581-7496

APPENDIX A-1.—LIST OF HUD FIELD OFFICES—Continued

Jurisdiction	Office	Address and phone numbers
GREAT PLAINS	Kansas City, KS	HUD—Kansas City Office, 400 State Avenue, Room 200, Kansas City, KS 66101–2406, OFC PHONE (913) 551–5462
	Omaha, NE	HUD—Omaha Office, 10909 Mill Valley Road, Suite 100, Omaha, NE 68154–3955, OFC PHONE (402) 492–3103
	St. Louis, MO	HUD—St. Louis Office, 1222 Spruce Street #3207, St. Louis, MO 63103–2836, OFC PHONE (314) 539–6560
	Des Moines, IA	HUD—Des Moines Office, 210 Walnut Street, Room 239, Des Moines, IA 50309–2155, OFC PHONE (515) 284–4573
ROCKY MOUNTAINS	Denver, CO	HUD—Denver Office, 633 17th Street, 14th Floor, Denver, CO 80202–3607, OFC PHONE (303) 672–5440
	Salt Lake City, UT	HUD—Salt Lake City Office, 257 East, 200 South, Rm. 550, Salt Lake City, UT 84111–2048, OFC PHONE (801) 524–6071
	Helena, MT	HUD—Helena Office, 7 West Sixth Avenue, Power Block Building, Helena, MT 59601, OFC PHONE (406) 449–5048
	Sioux Falls, SD	HUD—Sioux Falls Office, 2400 West 49th Street, Rm. I–201, Sioux Falls, SD 57105–6558, OFC PHONE (605) 330–4223
	Fargo, ND	HUD—Fargo Office, 657 2nd Avenue North, Room 366, Fargo, ND 58108, OFC PHONE (701) 239–5040
	Casper, WY	HUD—Wyoming Office, 150 East B Street, Room 1010, Casper, WY 82601–1969, OFC PHONE (307) 261–6250
	San Francisco, CA	HUD—San Francisco Office, 450 Golden Gate Avenue, Box 36003, San Francisco, CA 94102–3448, OFC PHONE (415) 436–6532
PACIFIC/HAWAII	Honolulu, HI	HUD—Honolulu Office, 7 Waterfront Plaza, #500 Ala Moana Blvd. #500, Honolulu, HI 96813–4918, OFC PHONE (808) 522–8175
	Los Angeles, CA	HUD—Los Angeles Office, 611 W. Sixth Street, Suite 800, Los Angeles, CA 90017, OFC PHONE (213) 894–8007
	Sacramento, CA	HUD—Sacramento Office, 925 L Street, Sacramento, CA 95814, OFC PHONE (916) 498–5220
	Reno, NV	HUD—Reno Office, 3702 S. Virginia Street, Suite G–2, Reno, NV 89502–6581, OFC PHONE (775) 784–5383
	San Diego, CA	HUD—San Diego Office, Symphony Towers, 750 B Street, Suite 1600, San Diego, CA 92101–8131, OFC PHONE (619) 557–5310
	Las Vegas, NV	HUD—Las Vegas Office, 333 N. Rancho Drive-Atrium Bldg., Suite 700, Las Vegas, NV 89106–3714, OFC PHONE (702) 388–6208/6500
	Phoenix, AZ	HUD—Phoenix Office, 400 North Fifth Street, Suite 1600, Phoenix, AZ 85004–2361, OFC PHONE (602) 379–4434
	Santa Ana, CA	HUD—Santa Ana Office, 1600 N. Broadway, Suite 100, Santa Ana, CA 92706–3927, OFC PHONE (714) 796–5577
	Tucson, AZ	HUD—Tucson Office, 33 North Stone Avenue #700, Tucson, AZ 85701–1467, OFC PHONE (520) 670–6000
	Fresno, CA	HUD—Fresno Office, 2135 Fresno Street, Suite 100, Fresno, CA 93721–1718, OFC PHONE (559) 487–5032
	Seattle, WA	HUD—Seattle Office, 909 First Avenue, Suite 200, Seattle, WA 98104–1000, OFC PHONE (206) 220–5101
	Portland, OR	HUD—Portland Office, 400 SW 6th Avenue #700, Portland, OR 97204–1632, OFC PHONE (503) 326–2561
	Anchorage, AK	HUD—Anchorage Office, 949 East 36th Avenue, Suite 401, Anchorage, AK 99508–4399, OFC PHONE (907) 271–4170
	Boise, ID	HUD—Boise Office, Suite 220, Plaza IV, 800 Park Boulevard, Boise, Idaho 83712–7743, OFC PHONE (208) 334–1990
NORTHWEST/ALASKA	Spokane, WA	HUD—Spokane Office, US Courthouse Bldg., 920 W. Riverside, Suite 588, Spokane, WA 99201–1010, OFC PHONE (509) 353–0682

Appendix A-2—List of EZs, ECs, Urban Enhanced Enterprise Communities, Strategic Planning Communities*AK, Anchorage*

Ms. Linda Yarbrough, Municipality of Anchorage, Department of Community Planning and Development, P.O. Box 196650, Anchorage, AK 99501, 907–343–4303 (Phone), 907–343–4220 (Fax)

Terrence Booth, Metlakatla Indian Enterprise Community, Metlakatla, AK 99926, 907–886–4441 (Phone), 907–886–7997 (Fax)

AL, Anniston

David Umling, Chambers County Enterprise Community, Anniston, AL 36202, 256–237–6741 (Phone), 256–237–6763 (Fax)

AL, Birmingham

Mr. Keith Strother, City of Birmingham, 710 N. 20th St. City Hall, Third Floor, Birmingham, AL 35203, 205–254–2870 (Phone), 205–254–7741 (Fax)

AL, Epes

John Zippert, Greene and Sumter Enterprise Community, Epes, AL 35460, 205–652–9676 (Phone), 205–652–9678 (Fax)

AR, Blytheville

Sam Scruggs, Mississippi County Enterprise Community, Blytheville, AR 72316, 870–532–2348 (Phone), 870–532–2625 (Fax)

AR, Forrest City

Robert Cole, Eastern Arkansas Enterprise Community, Forrest City, AR 72335, 870–630–2005 (Phone), 870–630–2035 (Fax)

AR, Little Rock

Mr. Henry L. McHenry, County of Pulaski, Enterprise Community Alliance, Inc., 3805 W. 12th St. Suite 205, Little Rock, AR

72204, 501-379-1543 (Phone), 501-379-1571 (Fax)

AZ, Douglas

Art Macias, Jr., Arizona Border Region Enterprise Community, Douglas, AZ 85607, 520-364-7501 (Phone), 520-364-7507 (Fax)

AZ, Nogales

Laura Ornelas, Arizona Border Region Enterprise Community, Nogales, AZ 85621, 520-287-6571 (Phone), 520-287-9159 (Fax)

AZ, Phoenix

Steve Capobres, Arizona Border Region Enterprise Community, Phoenix, AZ 85012-1920, 602-280-1365 (Phone), 602-280-1470 (Fax)

Ms. Jennifer Harper, City of Phoenix, Department of Neighborhood Services, 200 W. Washington St. Fourth Floor, Phoenix, AZ 85003-1611, 602-262-4730 (Phone), 602-534-1555 (Fax)

AZ, San Luis

Frank Carrillo, Arizona Border Region Enterprise Community, San Luis, AZ 85349, 520-627-2027 (Phone), 520-627-3879 (Fax)

AZ, Window Rock

Anthony Perry, Four Corners Enterprise Communities (Navajo Nation, Window Rock, AZ 86515, 520 871-6504 (Phone), 520-871-7381 (Fax)

CA, El Centro

Ken Hollis, Imperial County Enterprise Community, El Centro, CA 92243, 760-337-7814 (Phone), 760-337-8907 (Fax)

CA, Fresno

Becki Mendibles Central California Enterprise Community, Fresno, CA 93727, 559-452-0881 (Phone), 559-452-8038 (Fax)

CA, Indio

John Thurman, Desert Communities Empowerment Zone, Indio, CA 92201, 760-863-8225 (Phone), 760-863-7049 (Fax)

CA, Los Angeles

Ms. Alicia DeCastro, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-1023 (Phone), 213-847-0890 (Fax)

Mr. Robert Perez, City of Los Angeles, Department of Community Development, 215 W. Sixth St., Third Floor, Los Angeles, CA 90014, 213-485-8161 (Phone), 213-847-0890 (Fax)

CA, Oakland

Mr. Mahlon Harmon, One Stop Capital Shop, 519 17th St. Sixth Floor, Oakland, CA 94612-2032, 510-238-2353 (Phone), 510-238-7999 (Fax)

CA, San Diego

Ms. Bonnie Contreras, City of San Diego, Division of Economic Development, 1200 Third Ave. Suite 1300, San Diego, CA

92101-3863, 619-236-6846 (Phone), 619-533-6515 (Fax)

CA, San Francisco

Ms. Anna Yee, City of San Francisco, Enterprise Community Program, 25 Van Ness Ave. Suite 700, San Francisco, CA 94102, 415-252-3130 (Phone), 415-252-3110 (Fax)

CA, Santa Ana

Ms. Shawna Lahey, City of Santa Ana, Community Development Agency, P.O. Box 1988, Santa Ana, CA 92702, 714-647-5372 (Phone), 714-647-6580 (Fax)

CA, Watsonville

Anna Espinoza, Watsonville/City of Santa Cruz Enterprise Community, Watsonville, CA 95076, 831-763-4033 (Phone), 831-761-0736 (Fax)

CO, Denver

Mr. Ernest Hughes, City and County of Denver, Community Planning and Development Agency, 216 16th St. Suite 1400, Denver, CO 80202, 720-913-1547 (Phone), 720-913-1800 (Fax)

CT, Bridgeport

Ms. Janice B. Willis, City of Bridgeport, Office of Central Grants, 999 Broad St. City Hall Annex Chase Bldg., Bridgeport, CT 06604, 203-332-5662 (Phone), 203-332-3060 (Fax)

CT, New Haven

Ms. Diana E. Edmonds, City of New Haven, Office of Business Development, 200 Orange St. Fifth Floor, New Haven, CT 06510, 203-946-7727 (Phone), 203-946-8049 (Fax)

Ms. Sherri Killins, Empower New Haven, Inc., 59 Elm St. Fourth Floor, Suite 410, New Haven, CT 06510, 203-776-2777 (Phone), 203-776-0537 (Fax)

DC, Washington

Ms. Judy Brown, Enterprise Community Programs, Office of Economic Development EZ/EC Urban Task Force, 801 N. Capitol St., Sixth Floor, Washington, DC 20002, 202-442-7205 (Phone), 202-442-7090 (Fax)

DE, Wilmington

Ms. Edwina Bell-Mitchell, Wilmington Enterprise Community/New Castle County, 800 French St. Louis L. Redding Bldg., Ninth Floor, Wilmington, DE 19801, 302-571-4472 (Phone), 302-571-4326 (Fax)

FL, Marianna

Bill Stanton, Jackson County Enterprise Community, Marianna, FL 32447, 850-526-4005 (Phone), 850-526-4008 (Fax)

Stan Whitehurst, Jackson County Enterprise Community, Marianna, FL 32447, 850-526-7669 (Phone), 850-526-4008 (Fax)

FL, Miami

Mr. Bryan K. Finnie, Miami-Dade Empowerment Trust, Inc., 140 W. Flagler St., Suite 1107, Miami, FL 33130, 305-372-7620 (Phone), 305-372-7629 (Fax)

FL, Naples

Barbara Cacchione, Empowerment Alliance of Southwest Florida EC, Naples, FL 34103, 941-649-5000 (Phone), 941-649-5337 (Fax)

FL, Tampa

Ms. Jeanette LaRussa-Fenton, City of Tampa, Department of Business and Community Services, 2105 N. Nebraska Ave. Ybor Service Center, Tampa, FL 33602-2529, 813-274-7966 (Phone), 813-274-7927 (Fax)

GA, Albany

Ms. Julie Duke, City of Albany, Office of the City Manager, P.O. Box 447, Albany, GA 31702, 229-431-3234 (Phone), 229-431-3223 (Fax)

GA, Atlanta

Ms. Charisse Richardson, Atlanta Empowerment Zone Corp., 675 Ponce De Leon Ave., N.E. City Hall East, Second Floor, Atlanta, GA 30308, 404-853-7610 (Phone), 404-853-7315 (Fax)

GA, Augusta

Hilda Alexander, CSRA Enterprise Community, Augusta, GA 30904, 706-667-4179 (Phone), 706-737-1459 (Fax)

GA, Cordele

Robert Cooke, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)

Bambi Hayes, Southwest Georgia United Empowerment Zone, Cordele, GA 31010, 912-273-9111 (Phone), 912-276-0450 (Fax)

HI, Kaunakakai

Stacy Crivello, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-5123 (Phone), 808-553-3735 (Fax)

Karen M. Holt, Molokai Enterprise Community, Kaunakakai, HI 96748, 808-553-3244 (Phone), 808-553-3370 (Fax)

IA, Des Moines

Ms. Caroline Gathright, City of Des Moines, Division of Neighborhood Planning, 602 E. First St., Des Moines, IA 50309, 515-283-4151 (Phone), 515-237-1713 (Fax)

IL, Chicago

Mr. Wallace Goode, City of Chicago, 20 N. Clark St., 28th Floor, Chicago, IL 60602-5086, 312-744-9623 (Phone), 312-744-9696 (Fax)

IL, E. St. Louis

Mr. Ralph Muhammed, East St. Louis Enterprise Community, 301 River Park Dr., Third Floor, E. St. Louis, IL 62201, 618-482-6642 (Phone), 618-482-6788 (Fax)

IL, Springfield

Ms. Cleatia Bowen, City of Springfield, Office of Economic Development, 231 S. Sixth St., Springfield, IL 62701, 217-789-2377 (Phone), 217-789-2380 (Fax)

IL, Ullin

Donna Raynalds, Southernmost Illinois Delta Empowerment Zone, Ullin, IL 62992, 618-634-9471 (Phone), 618-634-9452 (Fax)

IN, Austin

Donald Campbell, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-2877 (Phone), 812-794-2859 (Fax)
 Charlotte Mathis, Town of Austin Enterprise Community, Austin, IN 47102, 812-794-9446 (Phone), 812-794-8765 (Fax)

IN, East Chicago

Mr. John D. Artis, City of East Chicago, Department of Redevelopment and Housing Authority, P.O. Box 498, East Chicago, IN 46312-0498, 219-397-9974 (Phone), 219-397-4249 (Fax)

IN, Gary

Ms. Venus Cobb, City of Gary, Empowerment Zone Office, 840 Broadway First Floor, Gary, IN 46404, 219-886-9047 (Phone), 219-886-9051 (Fax)

IN, Hammond

Ms. Rocharda Moore-Harris, City of Hammond, Department of Planning, 649 Conkey St., Hammond, IN 46324, 219-853-6371 (Phone), 219-853-6334 (Fax)

IN, Indianapolis

Ms. Renia Colbert, City of Indianapolis, Division of Community Development and Financial Services, 200 E. Washington St., City County Bldg., Suite 1841, Indianapolis, IN 46204, 317-327-5869 (Phone), 317-327-5908 (Fax)

KS, Leoti

Sharla Krenzel, Wichita County Enterprise Community, Leoti, KS 67861, 316-375-2182 (Phone), 316-375-4350 (Fax)
 Elmer Ridder, Wichita County Enterprise Community, Leoti, KS 67861, 316-375-2731 (Phone), 316-375-4350 (Fax)

KY, Bowling Green

Lisa Ryan, City of Bowling Green Enterprise Community, Bowling Green, KY 42102-0430, 270-393-3658 (Phone), 502-393-3698 (Fax)

KY, London

Jerry Rickett, Kentucky Highlands Empowerment Zone, London, KY 40743, 606-864-5175 (Phone), 606-864-5194 (Fax)

KY, Louisville

Mr. Walter Munday, City of Louisville, Empowerment Zone Community, 200 S. Seventh St., Louisville, KY 40202, 502-574-2682 (Phone), 502-574-4227 (Fax)

KY, Whitley City

Bruce Murphy, McCreary County Enterprise Community, Whitley City, KY 42653, 606-376-2413 (Phone), 606-376-9499 (Fax)

LA, Ferriday

Chip Rogers, Macon Ridge Enterprise Community, Ferriday, LA 71334, 318-757-3033 (Phone), 318-757-4212 (Fax)

LA, Monroe

Mr. Eric Loewe, Ouachita Enterprise Community, P.O. Box 4268, Monroe, LA 71211, 318-329-4031 (Phone), 318-329-4034 (Fax)

LA, New Orleans

Ms. Thelma H. French, City of New Orleans, Office of Federal and State Programs, 1300 Perdido St., Room 2E04, New Orleans, LA 70112, 504-565-6445 (Phone), 504-565-6423 (Fax)

LA, Tallulah

Moses Jr. Williams, Northeast Louisiana Delta Enterprise Community, Tallulah, LA 71282, 318-574-0995 (Phone), 318-574-3132 (Fax)

MA, Lowell

Ms. Kathy Muldoon, City of Lowell, Department of Planning and Development, 50 Arcand Dr., City Hall, JFK Civic Center Bldg., Lowell, MA 01852, 978-446-7150 (Phone), 978-446-7014 (Fax)

MA, Roxbury

Mr. Reginald Nunnally, Boston Empowerment Zone, Boston Business Assistance Center, 20 Hampdon St., Roxbury, MA 02119, 617-445-3413 (Phone), 617-445-5675 (Fax)

MA, Springfield

Mr. Miguel Rivas, City of Springfield, Department of Community Development, 36 Court St., City Hall, Room 313, Springfield, MA 01103, 413-750-2240 (Phone), 413-787-6027 (Fax)

MD, Baltimore

Ms. Diane Bell, Empower Baltimore Management Corp., 34 Market Place, Suite 800, Baltimore, MD 21202, 410-783-4400 (Phone), 410-783-0526 (Fax)

ME, Lewiston

Carole J. Ansheles, City of Lewiston Enterprise Community, Lewiston, ME 04240-7282, 207-777-5144 (Phone), 207-786-4412 (Fax)

MI, Detroit

Ms. Denise Gray, Detroit Empowerment Zone Development Corp., One Ford Place, Suite 1F, Detroit, MI 48202, 313-872-8050 (Phone), 313-872-8002 (Fax)

MI, Flint

Ms. Nancy Jurkiewicz, City of Flint, Flint Area Enterprise Community, 805 Welch Blvd., Flint, MI 48504, 810-341-1499 (Phone), 810-766-7351 (Fax)

MI, Harrison

Edward Kerr, Clare County Enterprise Community, Harrison, MI 48625-0439, 517-539-7805 (Phone), 517-539-2791 (Fax)

MI, Muskegon

Ms. Cathy Brubaker-Clarke, City of Muskegon, Department of Community and Economic Development, P.O. Box 536, Muskegon, MI 49443-0536, 231-724-6702 (Phone), 231-724-6790 (Fax)

MI, Scottville

Mary L. Trucks, Lake County Enterprise Community, Scottville, MI 49454, 616-757-3785 (Phone), 616-757-9669 (Fax)

MN, Minneapolis

Ms. Kim W. Havey, Minneapolis Empowerment Zone, 350 S. Fifth St., City Hall, Room 200, Minneapolis, MN 55415, 612-673-5415 (Phone), 612-673-3724 (Fax)

MN, St. Paul

Mr. Jeremy Lenz, City of St. Paul, Department of Planning and Economic Development, 25 W. Fourth St., 1200 City Hall Annex, St. Paul, MN 55102, 651-266-6603 (Phone), 651-228-3341 (Fax)

MO, East Prairie

Martha Ellen Black, City of East Prairie Enterprise Community, East Prairie, MO 63845, 573-649-3731 (Phone), 573-649-5028 (Fax)

MO, Kansas City

Ms. Marlene Nagel, Mid-American Regional Council (MARC), 600 Broadway 300 Rivergate Center, Kansas City, MO 64105-1554, 816-474-4240 (Phone), 816-421-7758 (Fax)

MO, St. Louis

Ms. A. Danine Lard, Greater St., Louis Regional Empowerment Zone Management, 1015 Locust St., Suite 1030, St. Louis, MO 63101, 314-622-3400 (Phone), 314-436-7983 (Fax)

MS, Itta Bena

Arthur Peyton, Mid-Delta Empowerment Zone, Itta Bena, MS 38941, 662-254-9957 (Phone), 662-254-9941 (Fax)

MS, Jackson

Mr. Roosevelt T. Sanders, Jackson Urban Enterprise Community Council, Inc., P.O. Box 10353, Jackson, MS 39289, 601-949-7879 (Phone), 601-981-2407 (Fax)

MS, Sardis

Stuart Guernsey, North Delta Enterprise Community, Sardis, MS 38666, 662-487-1968 (Phone), 662-487-0088 (Fax)

MT, Poplar

Mark Sansaver, Fort Peck Assiniboine and Sioux Tribe EC, Poplar, MT 59255, 406-768-3155 (Phone), 406-768-3581 (Fax)

NC, Charlotte

Mr. Franklin McCrary, Jr., City of Charlotte, Department of Neighborhood Development, 600 E. Trade St., Charlotte, NC 28202, 704-336-5577 (Phone), 704-336-2527 (Fax)

NC, Lumberton

Cynthia Johnson, Robeson County Enterprise Community, Lumberton, NC 28358, 910-618-0722 (Phone), 910-618-1504 (Fax)

NC, Rocky Mount

Terri Anderson, Halifax/Edgecombe/Wilson Enterprise Community, Rocky Mount, NC 27802, 252-972-1609 (Phone), 252-972-1590 (Fax)

ND, Cando

Joanne Rodenbiker, Center of North America REAP Zone, Cando, ND 58324, 701-968-3314 (Phone), 701-968-1747 (Fax)

ND, Dickenson

Shirley Brentrup, Southwest REAP Zone, Dickenson, ND 58601, 701-227-1241 (Phone),

ND, Finley

Kim Sheffield, Griggs-Steele Empowerment Zone, Finley, ND 58230, 701-524-2240 (Phone), 701-524-2241 (Fax)

NE, Omaha

Mr. Herb Patten, City of Omaha, Omaha Enterprise Community/Enterprise Zone, 2421 N. 24th St., Blue Lion Centre, Omaha, NE 68110-2282, 402-444-3514 (Phone), 402-444-3755 (Fax)

NH, Manchester

Mr. William J. Jabjiniak, City of Manchester, Department of Planning and Community Development, One City Hall Plaza, Manchester, NH 03101, 603-624-6505 (Phone), (603-624-6529 (Fax)

NJ, Bridgeton

Mr. Gerard Velasquez, Cumberland Empowerment Zone Corp., 50 E. Broad St., Bridgeton, NJ 08302, 856-459-1700 (Phone), 856-459-4099 (Fax)

NJ, Camden

Mr. Richard H. Cumming, Jr., Camden Empowerment Zone Corp., 817 Carpenter St., Hudson Square Complex, Camden, NJ 08102, 856-365-0300 (Phone), 856-365-1058 (Fax)

NJ, Newark

Ms. Angela Corbo, City of Newark, Department of Administration, 920 Broad St., City Hall, Room B-16, Newark, NJ 07102, 973-733-4331 (Phone), 973-733-3769 (Fax)

NM, Albuquerque

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